

NORTH DAKOTA RECORDS MANAGEMENT PROGRAM MANUAL



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TABLE OF CONTENTS

	<u>Page</u>
I. Introduction	1
II. Records Management Program	1
A. Records Management Program Implementation	2
1. Implementation Procedure	2
2. Records Inventory	3
3. Record Series Description.....	4
4. Records Management Task Force	7
5. Appraising Records	7
6. Determination of Administrative Value.....	8
7. Establishing Retention Schedules	9
8. Procedure for Initial Records Disposal	9
9. Inactive Records.....	11
10. Procedure to Transfer Records to State Archives	12
B. General Retention Schedule	13
C. Records Management Program Maintenance.....	13
1. Procedure for Annual Records Disposal	13
2. Adding Record Series to Retention Schedule	14
3. Deleting Record Series from Retention Schedule.....	15
4. Changing Record Series on a Retention Schedule	16
5. Procedure for Early Disposal of Records	17
D. Destruction Hold Procedure	18
E. Filing System for Records	19
1. Guides	19
2. Folders.....	19
3. Labels	19
4. Rules of Filing.....	20
5. Originator Document Stamp	22
6. Types of Filing Systems	23
7. Classification System for Records	24
F. Records Management Program Audits.....	30
G. Electronic Records Management.....	30

III.	Forms Management Program	32
A.	Definition - What Is A Form?	32
B.	Inventory of State Forms	33
C.	Forms Analysis.....	33
D.	Forms Design	33
E.	State Form Numbering System	34
F.	Annual Forms Inventory Report.....	34
G.	Universal and Duplicative Forms.....	34
H.	Bootleg Forms	35
I.	Forms Filing and Indexing	36
J.	Forms Design Principles	36
	1. Title Block and Identification	37
	2. Paper and Ink.....	38
	3. Captions	39
	4. Spaces.....	41
	5. Order	42
	6. Appearance.....	45
K.	Standards for State of North Dakota Forms	45
	1. Title Block.....	45
	2. Paper and Ink.....	46
	3. Captions	46
	4. Spaces.....	46
	5. Appearance.....	47

APPENDICES

Appendix A	- North Dakota Century Code.....	48
Appendix B	- Definitions.....	56
Appendix C	- Abbreviations Used for Record Retention	58
Appendix D	- State of North Dakota Universal Forms	59
Appendix E	- Forms Analysis - Fact Finding	61
Appendix F	- Key Words Used to Title Forms	63
Appendix G	- Space Requirements	65
Appendix H	- Standards of Measurement.....	66
Appendix I	- Filing System Examples.....	67
Appendix J	- Records Inventory (SFN 2041)	68
Appendix K	- Record Series Description (SFN 2042).....	69
Appendix L	- Records Retention Schedule (SFN 2043)	70
Appendix M	- Records Disposal Report.....	71
Appendix N	- Records Disposal Request (SFN 2044).....	72
Appendix O	- Records Disposal Authorization (SFN 2045)	73
Appendix P	- Certification of Records Disposal (SFN 7694).....	74

I. INTRODUCTION

How long could your agency function without forms to collect information or records to reference for information? Clearly, your state agency would cease functioning; just as it would without any of the other essential parts of an office operation.

Paperwork is an essential part of any office operation. Records need to be managed in an efficient manner to serve the purpose for which they were created. A records management system is a management plan for the creation, organization, use, retention, disposal, and selective preservation of records.

Effective August 1, 1999, the Information Technology Department (ITD) is responsible for the administration of the statewide records management system, including the records and forms management programs.

The records management program is responsible for the preservation of state records. This includes determining retention periods (based on legal, fiscal, historical and administrative values), selecting the appropriate retention medium (paper, film, etc.), choosing the best retention location (active, inactive, etc.), and selecting the best filing system for the records.

The forms management program is responsible for maintaining quality state forms. This includes maintaining the state form numbering system, maintaining design standards for state forms quality, eliminating duplicate and bootleg forms, and reviewing and analyzing all forms used in state government.

The bottom line is that a records management system will make state agencies more efficient, personnel more productive, minimize supply and equipment costs, improve storage and retrieval systems, and protect agencies from litigation regarding record-keeping practices, therefore utilizing tax payers money more effectively.

II. RECORDS MANAGEMENT PROGRAM

The Records Management program for the State of North Dakota was established on July 1, 1961, with the enactment of Chapter 54-46 of the North Dakota Century Code.

Effective records management is much more than just a filing and storage system. Records management is the systematic control of recorded information required in the operation of a state agency.

The ITD Records Management Section assists state agencies in better serving state government and the public by providing the following services:

1. Establish records retention schedules
2. Design filing systems

3. Implement classification systems
4. Audit for compliance with State of North Dakota records management requirements
5. Provide training regarding the use of records management tools, structures, and technologies
6. Assist in the development of technical solutions that insure integrity of the State's information assets
7. Provide workflow evaluation and design services.

Personnel in both ITD Records Management and your agency are responsible for the implementation and maintenance of an active records management program. Following is an overview of responsibilities:

- * **State Records Administrator**
Pursuant to Section 54-46-03 of the North Dakota Century Code, the chief information officer or an individual designated by the chief information officer shall serve as the state records administrator and shall perform the duties prescribed in Chapter 54-46 of the North Dakota Century Code.

The Information Technology Department has established a section of records management which is responsible for the records management program in the State of North Dakota. The State Records Management Administrator in the Information Technology Department has been assigned the responsibility to establish, implement, and administer a records management program for all state agencies and city, county, and park district offices.

- * **Department Records Management Personnel**
Section 54-46-05 of the North Dakota Century Code establishes the duties of agency heads for records management. Agency heads are requested to appoint a records coordinator to work with ITD Records Management to establish a records management program. These coordinators will be responsible for establishing and maintaining the records management program.

A. RECORDS MANAGEMENT PROGRAM IMPLEMENTATION

1. IMPLEMENTATION PROCEDURE

The procedure for establishing a records management program within an agency begins with the appointment of an agency records coordinator who is delegated the authority to establish and maintain the records management program. ITD Records Management will advise and assist the coordinator in the following steps to implement this program.

- a. A comprehensive [Records Inventory](#) (SFN 2041) and an analysis of the existing records management program must be completed (the records inventory is usually completed by the staff of ITD Records Management). See Chapter II, Section A, 2 - [Records Inventory](#).

- b. ITD Records Management will submit a written report to the agency head on the type of records found in the agency and any recommendations for the improved maintenance of all records located within the agency.
- c. A [Record Series Description](#) (SFN 2042, Appendix K) must be completed for each record series identified on the Records Inventory.
- d. The Record Series Descriptions will be submitted to ITD Records Management for review and appraisal by the Records Management Task Force (See Chapter II, Section A, 4 - [Records Management Task Force](#)).
- e. A [Records Retention Schedule](#) (SFN 2043, Appendix L) will be developed by ITD Records Management based on retention period recommendations from the agency and the Records Management Task Force.
- f. The Records Retention Schedule will be approved by the agency and the Records Management Task Force. This schedule provides guidelines for the disposition process.
- g. The records disposal process will be completed by the agency. ITD Records Management is available to assist with the records disposal.
- h. ITD Records Management will annually provide the agency with a [Records Disposal Report](#) (Appendix M) listing (1) all record series located within the agency, (2) the dates of the records to be transferred to inactive storage, (3) the dates of the records to be microfilmed, (4) the dates of the records to be disposed, and (5) the method of disposal.
- i. The North Dakota Subject Classification System should be implemented with the filing system. This subject classification system is described in Chapter II, Section E, 7 - [Classification System for Records](#).
- j. ITD Records Management will conduct an audit of the state agency's records management program every biennium.

2. RECORDS INVENTORY

The first step in developing a records management program within an agency is the preparation of a records inventory. A records analyst from ITD Records Management will complete the records inventory with the agency records coordinator or employees appointed by the coordinator. The inventory should be performed by the person within the agency/division most familiar with the records and the filing system. A records inventory identifies:

- a. The title of the record series.
- b. The inclusive years of the record series.
- c. The location of the records.

- d. The classification number.

When completed, the records inventory will identify all records located within the agency and any duplicate storage of the same record series by title and type of filing equipment.

3. RECORD SERIES DESCRIPTION

The second step in developing a records management program within an agency is the preparation of record series descriptions.

The record series descriptions will detail the general purpose and content of a record series or a unit of related records and recommend a retention period.

For example, a group of employee (personnel) files would be considered as one record series. A record series may be one or two file folders, or may fill several file drawers, shelves, boxes, etc.

The [Records Series Description](#) (SFN 2042, Appendix K), will be used to describe the record series. This form should be typewritten or printed using blue or black ink. The following information must be completed on the form.

- a. Department, division, and unit or program (if applicable).
- b. Type of action requested: Indicate the record series will be added.
- c. Record Control Number: This number is assigned by the records analyst and is not completed by the agency. This space should be left blank.
- d. Records Series Title and Complete Description: The title used on the Record Series Description should be the record name used by the agency and identified on the records inventory. Include an accurate description of the content of the records series, and the specific forms or materials filed in the folders. Begin the description with the phrase, "This series contains" and continue with the description. Give as many details as necessary to properly describe the record series. Example: Correspondence covering what kind of information? Application for what? Receipts for what? Minutes, reports, etc. If forms are a part of the record series, include the state form number of each form. If part of the record series is "weeded out" for early disposal, it should be inventoried as a separate record series.
- e. Medium: Check the appropriate box for the type of medium used to record the information. Is the information (record) stored on paper? cards? microfilm? microfiche?
- f. Inclusive dates of the record series: The inclusive dates of the record series will be from the oldest item in the file to the most current. Example: 1975 -1985. If the

record is still being created, use "present" instead of a specific date for the "TO" entry.

- g. Is the Record Series Confidential? Indicate if the record is confidential and cite the N.D.C.C. Section, Code of Federal Regulations, or state or federal court of law decision that makes the record confidential. This is in compliance with the [North Dakota Open Records Law, N.D.C.C. 44-04-18](#).
- h. Is the record series the original? Is the information duplicated or summarized elsewhere? Indicate if this is the original record series, and whether it is duplicated elsewhere. Include electronic storage: i.e. word processor, microcomputer, Information Technology Department.
- i. Is the record vital to the ongoing operation of the office in the event of a disaster or accident?
- j. Name of the person preparing the description, their telephone number, and the current date. If there are any questions as the record series description goes through the appraisal process (Chapter II, Section A, 5 - [Appraising Records](#)), the members of the Records Management Task Force will contact this employee for clarification.
- k. Administrative Value (Agency): This section will be completed by the agency. The administrative value will be the length of time the record is actually used in the agency (see Chapter II, Section A, 6 - [Determination of Administrative Value](#)).

If the records are retained in paper format:

- l. Size: Show whether the records are letter or legal size by checking the appropriate box. For cards and oversized documents such as ledgers or computer printouts, check "Other" and specify the size.
- m. Filing System: Check the appropriate box for the type of filing system used to store the records. Is the filing system alphabetic? geographic? numeric? If the system is a combination such as alphanumeric, check both boxes.
- n. Microform: Indicate if the record is a type of microform.

If the records are retained in electronic format:

- o. Where is Information Used? Check the appropriate box indicating where the data is used.
- p. File Type: A collection of electronic records is termed a file. Indicate if the electronic record is generated by computer, audio, or video. If the file type is computer, it can be further categorized as text files, data files, or image files. Text files contain character-coded letters, numeric digits, punctuation marks, and other

symbols encountered in typewritten documents. Examples of text files include word processing, electronic messaging, and optical character recognition (OCR). Data files contain quantitative as well as textual information. Data files contain records that are subdivided into one or more data elements, called fields, which store particular categories of information. Image files are files which contain computer-processable images. These may include programs created on document scanners, computer-aided design programs, spreadsheet packages, and fax modems. Audio recordings may be categorized as music or voice.

- q. Media Type: Indicate if the electronic record series is stored on magnetic or optical media. Examples of other media type would include punched cards or paper tape.
- r. Media Location: Indicate where the media for the electronic record series is stored.
- s. Estimated Annual Growth: Indicate the estimated annual growth for this particular record series.
- t. Is Information Backed Up? Indicate if the information is backed up. If it is backed up, indicate how it is backed up, when it is backed up, and number of generations.
- u. Hardware Environment: Provide a generic hardware description - such as "an IBM-compatible microcomputer with 640 K of random-access memory and a hard disk drive," "a VHS-type video cassette recorder with Super-VHS playback capabilities," or "an audio cassette deck with Type IV tape compatibility".
- v. Software Environment: Provide a listing of the software programs that are utilized. A listing and description of such programs should include systems software - such as operating systems, compilers, interpreters, and utility programs. Program names and version numbers should be provided. For prewritten software packages, the publisher or procurement source should be indicated.
- w. Is Data Periodically Purged From System: Mark the appropriate box.
- x. How Is It Purged? Mark the appropriate box.
- y. Description of Data Elements Purged and When. Data Element: specific entries under a field.
- z. Retention: Indicate the appropriate retention period for On-Line, Near-Line, Off-Line, Off-Site, and Other. Examples of on-line would be stored on fixed magnetic disk drives or other high-performance on-line, direct-access devices which retrieve desired information in fractions of a second. Near-line storage devices, such as optical disk jukeboxes, provide unattended access to large amounts of information and support retrieval times of fifteen seconds or less. Off-line is removable electronic media, such as floppy disks, optical disk cartridges, and magnetic tape

with retrieval times measured in minutes. Off-site is the magnetic media stored away from the office setting in records centers or warehouses. This is best suited for inactive electronic records.

Send all completed Record Series Descriptions to ITD Records Management. The records analyst will assign a records control number to the record series. If records are not inventoried and a records series description is not completed, the records will not be placed on a retention schedule and they cannot be disposed.

4. RECORDS MANAGEMENT TASK FORCE

After the records series descriptions have been analyzed by ITD Records Management, they will be submitted to the Records Management Task Force for appraisal. (See Chapter II, Section A, 5 - [Appraising Records](#).)

The Records Management Task Force has been created to assist agencies in establishing an accurate, concise records retention schedule. The Task Force consists of the State Archivist, State Auditor, Attorney General, and State Records Management Administrator. The Records Management Task Force is responsible for reviewing and assigning the historical, fiscal, and legal values to the record series being submitted by the agency.

When the values have been determined, ITD Records Management will prepare a [Records Retention Schedule](#) (SFN 2043, Appendix L). The Records Retention Schedule must be approved by the agency head and then ITD Records Management will submit it to the Task Force for approval.

Once a retention schedule is approved, the agency's disposal requests will no longer need to be signed by the Records Management Task Force, unless the request is for an early or one-time disposal of records.

5. APPRAISING RECORDS

The third step in establishing a records management program is determining the retention value of the record or how long each record series should be kept in the office and in storage before final disposition. To do this, the immediate and future usefulness of the records to the agency must be determined. Records should be retained in the office area as long as they serve the immediate administrative, legal, and fiscal purposes for which they were created. When they no longer serve these purposes, they should be transferred to an inactive storage center, microfilmed, destroyed, or in some cases deposited in the State Archives. The following values must be considered during the appraisal of records:

- a. Administrative value: When scheduling the retention of records, agency personnel should be primarily concerned with the administrative value of the records. Records are generally created to help accomplish the functions for which an agency is responsible. These records have value as long as they assist the agency in performing either current or future work. The primary administrative use of most

records is exhausted when the transactions to which they relate have been completed. As the usefulness of the record in performing the current or future work of the agency diminishes, the administrative value of the record decreases. At this point, the administrative value of the record may no longer be enough to justify its retention. The determination of administrative values is the responsibility of each agency. (See Chapter II, Section A, 6 - [Determination of Administrative Value](#) for more information.)

- b. Legal value: Records have legal value if they contain evidence of legally enforceable rights or obligations of the state. Examples are: (a) legal decisions and opinions, (b) fiscal documents representing agreements such as leases, titles, and contracts, and (c) records of legal proceedings.

A legal retention value for certain records may be established by law. In these cases, the legal value is determined by the statute. The Attorney General is responsible for determination of the legal value of the record series.

- c. Fiscal value: Records which relate to the financial transactions of the agency have fiscal value. After the records have served their primary administrative purpose, they may be retained to document an expenditure of moneys and/or to account for them for audit purposes. In some instances the audit requirements of the federal government must be considered. The State Auditor is responsible for determining the fiscal value of the record series.
- d. Historical value: Records that (a) have continuing value because they contain information about significant events, (b) document the history and development of an agency, or (c) protect the rights of the state and its citizens, are deemed to have archival or historical value. These records contain precedents for policies and procedures. For this reason, they are valuable to the state, to researchers in many fields, and to historians, as evidence of what was actually done. The State Archives is responsible for determination of the historical value of the record series.

The information contained within the record or record series may have any one, any combination, or all of the preceding values. These values must be determined before a retention period can be established for any record series.

6. DETERMINATION OF ADMINISTRATIVE VALUE

In establishing retention periods, the actual or potential value of the record must be weighed against the storage cost. This requires a realistic appraisal of the records in relation to their period of usefulness and the value to the agency that created them.

In most cases, when the administrative value of a record has been established, it dictates the required retention period. Less than 15% of all records have any legal value. Fiscal values rarely extend beyond three years. Most records have served their administrative needs after one to three years. Approximately 90% of references to most records occur

within one year from the date of origin; the remaining 10% occur on a rapidly declining basis after the first year.

Some questions that must be asked while determining retention periods are: How serious would it be if the particular record was unavailable five or ten years from now? What are the chances of it being needed? Is the information available elsewhere? What would it cost to reconstruct the record if this became necessary? The answers to these questions allow a realistic approach to determining the retention period for a record.

To establish an administrative value, an agency needs to determine how long the document is actually used. This assessment involves only the "usefulness" of the record. It does not include any legal assumptions, audit requirements, or historical values. Those values are established by the legal, fiscal, and historical assessments.

Administrative values must be assigned as a period of time. The term "indefinitely" will not be accepted by ITD Records Management when establishing administrative values.

7. ESTABLISHING RETENTION SCHEDULES

The final step in developing a Records Management program is the preparation of a [Records Retention Schedule](#) (SFN 2043, Appendix L) by ITD Records Management. The final version is returned to the agency for review and departmental approval by the agency head. After the agency head approves the retention schedule, it will be submitted to the Records Management Task Force for final approval. Then it is entered into the on-line records management system and a Records Retention Schedule with Descriptions is printed for the department.

8. PROCEDURE FOR INITIAL RECORDS DISPOSAL

Once the records retention schedule is established there should be an accurate and complete disposal of obsolete records. The agency should continue this disposal of records on an annual basis according to the [Records Disposal Report](#) (Appendix M).

ITD Records Management will provide each agency coordinator with a Records Disposal Report which will identify all record series located within the agency. The list will also identify the actions to be taken for each record series as follows:

- a. Transfer the following years to inactive storage . . . ,
- b. Microfilm the following years . . . ,
- c. Dispose of the following years . . . , and
- d. Dispose by the following method.

The method of disposal will be determined by (a) confidentiality of the record, and (b) requests from the State Archivist for transfer of the record series to the State Archives.

If the record series contains confidential material, the method of disposal will be "shredding". If it does not contain confidential material, the method of disposal will be

"landfill". Landfill is defined as disposing of records by essentially throwing the obsolete records in the garbage or recycling container.

Records requested by the State Archivist will be noted with a "Transfer to Archives" in the "By the Following Method" section. Confidential records requested by the State Archivist will be noted with "Tfr. to Arch.* Confid.*" in the "By the Following Method" section.

The abbreviations used for record retention values can be found in Appendix C.

The following records disposal authorization process is only required for the initial records purge after establishment of the records retention schedule. The disposal authorization process is as follows:

- a. The agency must complete the following items on the [Records Disposal Request](#) (SFN 2044, Appendix N):
 - (1) Department, division, date, address, city, state, zip code, name, title, and telephone number.
 - (2) The size and volume of the records to be disposed. Estimate the linear inches (thickness of the records being disposed) and enter the volume below the size of the records (Letter size, legal size, or other). If the documents being disposed are a size other than letter or legal size, please indicate the size in inches (3" X 5", 11" X 15"). As an example of a linear inch measurement: one full file drawer contains 25 linear inches of records.
 - (3) Mark "Initial Disposal/Transfer" for the Type of Disposal.
 - (4) Enter the record control number from the annual disposal report, the title of the records series being disposed, the inclusive dates of the record series, and the total retention period for the record. This step must be repeated for every record series. "Inclusive years" are the earliest date of the records to be disposed through the last date of the records to be disposed (example: 1979-1982).

The records disposal request will not be processed unless all information is included.

- b. The agency sends the Records Disposal Request to ITD Records Management.
- c. ITD Records Management assigns a request control number to the Records Disposal Request, reviews the request, indicates the appropriate action on the [Records Disposal Authorization](#) (SFN 2045, Appendix O), and returns the Records Disposal Request to the agency. If the request is not approved, the agency will be informed of the reasons for the action.
- d. The agency will then destroy the records approved for disposal. This disposition must be done in an approved manner, and must be certified by the person disposing

of the documents. If the record series are confidential, the disposal must be witnessed by one other person. If any records are to be transferred to the State Archives, the Records Disposal Request and the Records Disposal Authorization must accompany the documents being transferred.

- e. When the Certificate of Disposal and Certificate of Transfer sections have been completed (upon disposal or transfer of the records), the agency must detach and file the pink copy from both the Records Disposal Request and the Records Disposal Authorization.
- f. The agency must send the remaining copies of all pages of the Records Disposal Request and Records Disposal Authorization to ITD Records Management.
- g. ITD Records Management will retain a copy of the request and authorization forms in its files. The State Archivist will also receive a copy of the request and authorization forms.
- h. The Records Disposal Request should be included on the agency's records retention schedule and retained for an established retention period.

The initial disposal procedure, from the time the Records Disposal Request is submitted to ITD Records Management to the time of disposition, should take no more than five working days. If, at any point, an authorization is delayed for more than five days, please notify ITD Records Management.

9. INACTIVE RECORDS

Inactive records are defined as "those records referred to less than once per month per file drawer". Generally, records become inactive when they have fulfilled the immediate administrative purposes for which they were created.

Inactive records should be taken out of the active records area regularly. This frees up file space needed for active records and eliminates the need to purchase additional file equipment. It also minimizes the time needed by personnel to file and retrieve active records.

Records moved to inactive storage areas should be placed in boxes or surplus file equipment and labeled with the record control number, inclusive dates of the records, date of authorized disposal, and any special instructions. ITD Records Management has designed the label found below for use by all state and county offices. Contact ITD Records Management to obtain a supply of these labels.



RECORD RETENTION/DISPOSAL LABEL
INFORMATION TECHNOLOGY DEPARTMENT
RECORDS MANAGEMENT
SFN 2453 (6-99)

Affix to cabinets, boxes, etc., to identify retention/disposition for inactive records

Department		Division
Records Control Number	Special Instructions	
Inclusive Dates of Records		
Disposal By: <input type="checkbox"/> Landfill <input type="checkbox"/> Shred/Burn <input type="checkbox"/> Archives		
Authorized Disposal Date		

10. PROCEDURE TO TRANSFER RECORDS TO THE STATE ARCHIVES

Offices that are ready to transfer records listed on the Records Disposal Report should contact the State Archives, which will arrange to pick up the materials. The State Archives will issue a receipt for the material received. Following is the procedure to transfer records to the State Archives.

- a. Records designated for transfer to the State Archives on the Records Retention Schedule with Descriptions or the [Records Disposal Report](#) (Appendix M) are placed in boxes. Keep these boxes separate from records to be disposed by shredding or landfill.
- b. State agencies must use sturdy, uniform-size records boxes, such as Banker's Boxes or R-Kive boxes.
- c. When packing records for transfer to the State Archives, maintain the existing arrangement of the files. Records must not be removed from file folders and the existing arrangement of the files must not be changed. Boxes must be packed to allow easy removal of files. Do not stuff boxes or pile extra files horizontally on top of vertical files. File folders may be stacked horizontally if there are not enough to fill the box properly. Do not mix record series.

A box should contain only one record series unless the series is too small to fill a box properly. Odd-size records, such as bound volumes, maps, and charts, require special handling. Advise the State Archives of the nature of odd-size records so special arrangements can be made for transfer. If file inventories, indexes, keys, and other finding aids to the records are retained for office use, make copies of the finding aids and send them along with the records.

- d. Label all boxes in the lower left corner on the front of the box. Use ink to mark the record series title, record control number (from the records retention schedule), and the box number. Information, such as file numbers, serial numbers, or alphabetical designations, should be noted on the box.
- e. Contact the State Archives when ready to transfer records. In most cases, State Archives personnel will remove records from your offices and transfer them to the State Archives in the North Dakota Heritage Center. Please contact the State Archives staff at 328-2668 if you have any problems. Confidential records will remain on confidential status when transferred to the State Archives. These records will not be open for public inspection.
- f. The State Archives receives a copy of the Records Disposal Report from ITD Records Management and will verify that records requested for transfer have actually been transferred. State law requires certification of records transferred to the State Archives. The State Archivist completes the Certificate of Transfer section of the Records Disposal Authorization (SFN 2045) or [Certification of Records Disposal](#) (SFN 7694, Appendix P), and returns it to ITD Records Management after the records have been transferred. The agency must sign the Certificate of Disposal section before the forms are sent to ITD Records Management.

B. GENERAL RETENTION SCHEDULE

ITD Records Management created a General Retention Schedule that includes common record series maintained by the majority of state agencies. Each agency will still maintain individual retention schedules listing their specific agency records.

C. RECORDS MANAGEMENT PROGRAM MAINTENANCE

Records management must be an ongoing project. As the records created and maintained in an agency change, the agency's records retention schedule must be updated. The purpose of the following sections is to provide a guide for the continued maintenance of the agency's records management program.

1. PROCEDURE FOR ANNUAL RECORDS DISPOSAL

After completion of the first records disposal, your agency may utilize an ongoing disposal of obsolete records in compliance with the retention limits established by the Records Retention Schedule. ITD Records Management will provide your agency with an annual [Records Disposal Report](#) (Appendix M), specifying exact disposal instructions for each record series retained in your agency.

The abbreviations used for record retention values can be found in Appendix C.

The Records Disposal Report constitutes approval from ITD Records Management for the disposition of all records for the years indicated in the "Dispose of" column of the report. Your agency is responsible to comply with the retention schedule on an ongoing basis by disposing of records that have satisfied their retention requirement as specified in the disposal report.

You may dispose of records only in the manner stipulated on the Records Retention Schedule and Records Disposal Report. All nonconfidential records may be disposed by landfill - in essence, disposed by just throwing the record in the garbage or recycling container. Confidential records must be shredded or burned. Records identified as archival must be transferred to the State Archives following the procedures outlined in Chapter II, Section A, 10 - [Procedure to Transfer Records to the State Archives](#).

Record series must not be disposed prior to the time approved by ITD Records Management. If a situation warrants early disposal of a record, the procedure outlined in Chapter II, Section C, 5 - [Procedure for Early Disposal of Records](#) must be followed.

RECORDS INVOLVED IN AN ONGOING AUDIT, LITIGATION, OR INVESTIGATION MUST NOT BE DESTROYED UNTIL THE MATTER IS RESOLVED. See Chapter II, Section C, [Destruction Hold Procedure](#).

The agency is responsible to verify that the information contained on the Records Disposal Report is still current. Any discrepancies must be corrected. New record series may be added and existing record series may be deleted or changed on your Records Retention Schedule by following the procedures outlined in Chapter II, Section C, 2 - [Adding Record Series](#); Section C, 3 - [Deleting Record Series](#); or Section C, 4 - [Changing Record Series](#).

In summary, your agency (a) will receive an annual Records Disposal Report; (b) must dispose of records as listed on the report; (c) must complete the Certification of Records Disposal; and (d) must return the Disposal Report and Certification of Records Disposal (SFN 7694) to ITD Records Management.

2. ADDING RECORD SERIES TO RETENTION SCHEDULE

A record series may need to be added to a Records Retention Schedule because:

- a. A new program or function may be added to the division's responsibilities resulting in a new record series being created.
- b. A function or responsibility may be transferred from one division or agency to another as a result of administrative or legal changes. The original description completed by the original agency or division may be used by the agency or division taking possession of the record series.

- c. A record series may have been missed during the development of your original Records Retention Schedule.

Steps to add a record series to the existing records retention schedule are stated below.

- a. Complete all parts of the [Record Series Description](#) (SFN 2042, Appendix K) with the exception of the record control number, legal value, fiscal value, and historical value. The Record Series Description can be obtained from ITD Records Management.
- b. Send the completed Record Series Description to ITD Records Management. The Records Management Task Force will determine the legal, fiscal, and historical values.
- c. You will receive a typed [Records Retention Schedule](#) (SFN 2043, Appendix L) for departmental approval. The agency head must sign the Departmental Approval section of the Records Retention Schedule and return it to ITD Records Management.
- d. ITD Records Management will obtain approvals from the Attorney General, State Auditor, and State Archivist.
- e. The new record series will be included on the next Records Disposal Report for your agency. Your agency will receive an updated Records Retention Schedule with Descriptions from ITD Records Management.

3. DELETING RECORD SERIES FROM RETENTION SCHEDULE

A record series will need to be deleted from your Records Retention Schedule when those records are no longer found in your agency. There are at least three instances when this may occur:

- a. The division/program/function that created the record has been transferred to another division within the agency or has been transferred to another state agency.
- b. The record series is no longer created and all existing records have been destroyed after meeting their approved records retention period.
- c. The record series is no longer created and has been transferred to the State Archives for historical preservation.

Steps to delete a record series from the existing records retention schedule are stated below.

- a. Complete the following parts of the [Record Series Description](#) (SFN 2042, Appendix K) which may be obtained from ITD Records Management.
 - (1) Department and division.
 - (2) Record series title (description not necessary).
 - (3) Record control number.
 - (4) Mark the Delete box under Action Requested and include one of the following explanations under the record description area:
 - (a) All records have been destroyed.
 - (b) All records have been transferred to the State Archives.
 - (c) All records have been transferred to (another state agency or division name).
 - (5) Name and telephone number of person completing the Record Series Description.
 - (6) Date the Record Series Description was completed.
- b. Send the completed Record Series Description to ITD Records Management.
- c. You will receive a typed [Records Retention Schedule](#) (SFN 2043, Appendix L) for departmental approval. The agency head must sign the Departmental Approval section of the Records Retention Schedule and return it to ITD Records Management.
- d. Your agency will receive an updated Records Retention Schedule with Descriptions from ITD Records Management. The record series will no longer be included on the Records Disposal Report.

4. CHANGING RECORD SERIES ON A RETENTION SCHEDULE

ITD Records Management must be notified when any of the following facts about a record series change:

- a. The title or description.
- b. The administrative, legal, fiscal, or historical values.
- c. The record becomes or is no longer confidential.

The following steps must be used to change an existing record series description.

- a. Complete the following areas of the [Record Series Description](#) (SFN 2042, Appendix K) which may be obtained from ITD Records Management.
 - (1) Department and division.
 - (2) Record series title (description is not necessary, unless this is the area to be changed).
 - (3) Record control number.
 - (4) Any portion of the form that is to be changed.
 - (5) Name and telephone number of the person completing the Record Series Description.

- (6) Date the Record Series Description was completed.
- b. Send the completed Record Series Description to ITD Records Management.
- c. You will receive a typed [Records Retention Schedule](#) (SFN 2043, Appendix L) for departmental approval. The agency head must sign the Departmental Approval section of the Records Retention Schedule and return it to ITD Records Management.
- d. ITD Records Management will obtain the appropriate signatures from the Records Management Task Force.
- e. Your agency will receive an updated Records Retention Schedule with Descriptions from ITD Records Management. The record series will also be changed on the next Records Disposal Report for your agency.

5. PROCEDURE FOR EARLY DISPOSAL OF RECORDS

Early disposal of records may occur as a result of a change in the fiscal value of a record. An example of this is a disposal resulting from early completion of an audit.

If the State Auditor indicates that a record series may be needed for audit purposes, it is assigned a retention period of "three years after the current fiscal year" so it is available for auditing.

If your office has been audited, and the record series in question has been reviewed and released by the auditor, you may request early disposal of that record series. This may be done by completing the Records Disposal Request (SFN 2044) which may be obtained from ITD Records Management. The steps to request an early disposal are listed below.

- a. The agency completes the following areas of the Records Disposal Request and sends it to ITD Records Management:
 - (1) Department, division, date, address, city, state, zip code, name, title, and telephone number.
 - (2) The size and volume of the records to be disposed. Estimate the linear inches (thickness of the records being disposed) and enter the volume below the size of the records (Letter size, legal size, or other). If the documents being disposed are a size other than letter or legal size, please indicate the size in inches (3" X 5", 11" X 15"). As an example of a linear inch measurement: one full file drawer contains 25 linear inches of records.
 - (3) Mark "Early Disposal/Transfer" for the Type of Disposal.
 - (4) Enter the record control number from the annual disposal report, the title of the records series being disposed, the inclusive dates of the record series, and the total retention period for the record. This step must be repeated for every record series. "Inclusive years" are the earliest date of the records to be

disposed through the last date of the records to be disposed (example: 1979-1982).

- (5) Explain in the area beneath each record title why you are requesting early disposal of that record series.
- b. ITD Records Management will assign a request control number and obtain approval from the Records Management Task Force.
- c. ITD Records Management will return the Records Disposal Request and Authorization to the agency.
- d. The agency will then destroy the records approved for disposal. This disposition must be done in an approved manner, and must be certified by the person disposing of the documents. If the record series are confidential, the disposal must be witnessed by one other person. If any records are to be transferred to the State Archives, the Records Disposal Request and the Records Disposal Authorization must accompany the documents being transferred.
- e. When the Certificate of Disposal and Certificate of Transfer sections have been completed (upon disposal or transfer of the records), the agency must detach and file the pink copy from both the Records Disposal Request and the Records Disposal Authorization.
- f. The agency must send the remaining copies of all pages of the Records Disposal Request and Records Disposal Authorization to ITD Records Management.
- g. ITD Records Management will retain a copy of the request and authorization forms in its files. The State Archivist will also receive a copy of the request and authorization forms.

ITD Records Management may verify the fiscal value of any record series with the State Auditor.

D. DESTRUCTION HOLD PROCEDURE

When an agency is involved in an ongoing audit, litigation, or investigation, it may be necessary to suspend all destruction of records that may be involved in resolving the issue. Upon learning of actual, pending, or possible litigation, audit, or investigation, the records coordinator should work with management and legal counsel to immediately notify all employees to cease destruction of records, including paper, microforms, or electronic information. All records should be retained until such time as management and legal counsel can determine the scope of the action. A "Destruction Hold Notice" should include the following information.

1. Brief description of the audit or action.

2. Identify the main business functions affected.
3. List the types of records, regardless if it is stored on paper, microform, or electronic format, that may be involved.
4. Notify the employees that these records must not be altered or destroyed until further notification from management or legal counsel.

Management or legal counsel will review the action and determine which records will be required. Upon completion of the review, approval to continue normal disposal of unneeded records and files, which are not included in the action, should be provided. Records needed in the action must be retained until specific approval for disposal is provided.

E. FILING SYSTEM FOR RECORDS

Filing is the process of classifying, arranging, sorting, and storing records so they may be easily located and retrieved when needed. The classification and control of records involves consideration of the basic file groups, material collection procedures, file preparation, sorting, indexing, maintenance, and cross referencing.

Rules of filing apply to the correct applications and use of guides, folders, labels, index cards and equipment. These elements are vital to an effective and efficient filing system and assist in the location and retrieval of records.

1. GUIDES

The definition of "guide" is to direct. A guide directs the eye to a specific location within a filing system. Guides serve the following functions:

- a. Designate the exact location of records and folders.
- b. Provide support for folders to prevent bowing and sagging.
- c. Increase the accuracy of filing and retrieving.
- d. Designate the major and minor subdivisions.
- e. Color guides display the hierarchical structure of files.
- f. The visibility of the guides provides the user with a "sense of location" as they approach the file.

2. FOLDERS

File folders are used for two reasons:

- a. To provide housing for a group of related records so they can be retrieved easily.
- b. To protect and support the papers in an upright easy-to-retrieve manner.

3. LABELS

Labels are applied to the tab of the file folder for three reasons:

- a. To identify the contents of the folder.
- b. To reinforce and strengthen the area where they are applied.
- c. To provide color-coded direction to various segments of the filing system.

4. RULES OF FILING

a. File Behind the Guide.

Records and folders should always be filed behind the guide.

b. Select the Appropriate Number of Guides.

Consider the following areas when selecting the proper number of guides to be used in your filing system:

- (1) Number of folders to be filed
- (2) Type of records filed
- (3) Activity of the records
- (4) Number of records added to the system daily
- (5) Volume of records per file folder
- (6) Retention period for records

It is important to remember that guides are an essential element in the filing and retrieving of records. More guides should be used in a highly active file area to assist users with easier location of records.

c. Use of File Folders.

File folders should be used to house a group of records in a filing system.

d. Filing Within the File Folder.

Records should be filed in a predetermined order to reduce the amount of time required to search for specific information.

e. Amount of Paper in Each File Folder.

No more than 3/4" of paper should be filed in an individual file folder. The standard manila file folder is designed for 3/4" maximum capacity.

Two to three lines of scoring are provided on the lower front leaf of most file folders. This scoring allows orderly expansion of the folder without disrupting the alignment of the tabs and labels.

f. Special File Folders.

Heavy pressboard file folders or red rope pockets should be used for filing large volumes of records that cannot be separated. The durable body and strong gusset allow for 1 to 4 inches expansion, while providing the support and protection needed.

Fastener file folders may be needed to secure the records in the folder and to insure the integrity of the records. Fastener file folders may also be used for folders that travel from the office to outside locations.

g. Miscellaneous Folders.

Miscellaneous folders are used in alphabetic filing systems to store records that contain information on a variety of topics and the creation of an individual file folder is not justified.

When four records pertaining to a particular topic accumulate in the miscellaneous folder, the records should be placed in an individual folder and labeled appropriately.

If a miscellaneous folder accumulates an inch or more of paper, then the following should be considered:

- (1) Not enough guides are being utilized.
- (2) Records that pertain to a particular topic are not being placed in individual file folders when four or more papers accumulate.
- (3) A pressboard expansion folder should be used.

h. Allow "workable space" within the filing equipment.

Avoid overcrowding the files in the filing equipment. Workable space is essential for fast and easy retrieval and filing of records. Overcrowded filing equipment encourages the collection of files on the tops of personal work spaces and in personal files.

i. Alphabetic Filing Rules

- (1) Alphabetize by arranging files in unit-by-unit order and alphabetically within each unit.
- (2) Each word, abbreviation, and initial is considered as a separate filing unit unless otherwise defined in a specific rule.
- (3) Each filing unit in a filing segment is to be considered. This includes prepositions, conjunctions, and articles. The only exception is when the word "the" is the first filing unit in a file segment. In this case, "the" is the last filing unit.
- (4) Spell out all symbols (&, \$, #) and file alphabetically.
- (5) File "nothing before something." File single-unit segments before multiple-unit segments.
- (6) Ignore all punctuation when alphabetizing. This includes periods, commas, dashes, hyphens, apostrophes, etc. Hyphenated words are considered one unit.
- (7) Arabic and Roman numbers are filed sequentially before alphabetic characters. All Arabic numerals precede all Roman numerals.
- (8) Acronyms and radio and television stations' call letters are filed as one unit.
- (9) File under the most commonly used name or title. Cross-reference under other names or titles that might be used in an information request.
- (10) The name of state, county, city, and township governmental/political divisions are the first filing units. The words "county," "city," or "department," etc., if needed and as appropriate, are added for clarity and are considered filing units. (For example: HEALTH, DEPARTMENT OF).

5. ORIGINATOR DOCUMENT STAMP

Agencies which use copy machines to reproduce documents for distribution among their staff later find those copies in several places within the agency's filing system. This duplication adds unnecessary volume to files and often it becomes difficult to determine the location for filing the original document.

The "ORIGINATOR DOCUMENT STAMP" method will be helpful to those agencies who distribute copies of documents among their staff. This method will aid the control of copies of documents, streamline and simplify filing and locating procedures, pinpoint responsibility for the original documents, and resolve questions on retention of the copies. An ORIGINATOR DOCUMENT STAMP will be in this format:

(DIVISION NAME IDENTIFIER)
READ/DESTROY []
ACTION COPY []

The procedure for the ORIGINATOR DOCUMENT STAMP is as follows:

- a. All documents that originate or belong in a division of an agency are stamped in the upper right corner, using a green ink pad.
- b. The documents are stamped before copies are made, so the green inked stamp will appear black on all copies.
- c. The division will be the responsible record keeper for all documents in its files on which the stamp appears in green. Those documents will be retained within that division's files to the end of the retention period, then disposed of in the proper manner.
- d. Documents with black stamps are copies and can be disposed of as soon as they have served their purpose.
- e. The "ORIGINATOR DOCUMENT STAMP" offers two options:

READ/DESTROY [X]: After reading the document, the receiver may immediately dispose of it.

ACTION COPY [X]: The receiver should take the appropriate action. After the copy has served its purpose, it may be disposed.
- f. Black-stamped copies will not generally be filed. If a copy is needed again, before the end of the retention period, one may be made from the original which will be in the files.
- g. For documents leaving the office:
 - (1) Before the original letterhead or document is mailed, a copy will be made.
 - (2) That copy will be stamped with the ORIGINATOR DOCUMENT STAMP using a green ink pad.
 - (3) Needed reproductions for distribution will be made from the green-stamped copy.

- (4) The green-stamped copy will be filed.
- h. For in-house documents:
 - (1) The original document will be stamped in green and copies made.
 - (2) The original document with the green stamp will be filed in the division, and the copies with the black stamp will be distributed.

6. TYPES OF FILING SYSTEMS

a. VERTICAL FILING SYSTEMS

Third-cut file guides and folders are used for the classification system in vertical file cabinets.

The PRIMARY INDEXING UNIT will be the subject name and numbers outlined in Chapter II, Section E, 7 - [Classification System for Records](#). These are placed on the left-position guides only.

Subjects which do not apply to a specific office will be omitted. Guides or folders should not be prepared for omitted subjects.

The SECONDARY INDEXING UNIT will be the record series names which are determined through the records equipment inventory. These will be placed on the middle-position guides.

The TERTIARY INDEXING UNIT will be sub-file units within a record series. These are the right-position folders. All file folders should be identified and labeled by year. Groups of folders for the current year are placed in front of those for prior years.

The use of folders and guides with the classification system is illustrated in Appendix I. A different color label will be used for each new primary indexing unit. This color would be the same on all guides and folders until the next primary indexing unit begins.

b. OPEN-SHELF FILING SYSTEMS

Open-shelf filing systems require the following file supplies:

- (1) End tab folders - straight tab cut
- (2) Color-coded numeric labels (0-9)
- (3) Self-adhesive folder labels with color bar

Guides may not necessary in color-coded, open-shelf filing systems because the change of colors indicates the change of subject.

The PRIMARY INDEXING UNIT uses the color-coded numeric label.

The SECONDARY INDEXING UNIT will be typed as the first line of the label. It will be the record series name that was determined through the records inventory.

The TERTIARY INDEXING UNIT will be typed as the second line of the label. It will be the sub-file units within a record series.

Following is an example of a typed label:

50 (LG) COURT CASES
SMITH vs. JONES, 1986

This label is read as follows:

50 (LG) - Primary Indexing Unit

COURT CASES - Secondary Indexing Unit

SMITH vs. JONES - Tertiary Indexing Unit

1986 - All file folders in open-shelf or vertical filing systems should be identified and labeled by year.

An example of the open-shelf filing system with the classification system is illustrated in Appendix I. ITD Records Management will assist state agencies in determining the subject classifications in which the agency's records would be located. This will result in an individualized filing system coordinated to the statewide records management program.

7. CLASSIFICATION SYSTEM FOR RECORDS

ITD Records Management recommends a 30-subject classification system designed to meet the special and individual needs found within each office.

The 30 subjects of the classification system are listed below. The description of each subject can be found following the list. This classification system can be used in either vertical file cabinets or open-shelf filing units.

a. STATE OF NORTH DAKOTA SUBJECT CLASSIFICATION SYSTEM

01 (ACT)	ACCOUNTING
05 (AF)	AGENCY FEDERAL
10 (AS)	AGENCY STATE
14 (AOC)	ASSOCIATIONS
15 (AUD)	AUDITS
17 (BUD)	BUDGETS
18 (CR)	CIVIL RIGHTS
19 (CF)	CASE FILES
22 (C/M)	COMMITTEE/MEETINGS
26 (COM)	COMMUNICATIONS
28 (CON)	CONSULTANTS
30 (C/L/A)	CONTRACTS/LEASES/AGREEMENTS
35 (ED/T)	EDUCATION/TRAINING
43 (EQ)	EQUIPMENT

44 (FOR)	FORMS MANAGEMENT
45 (GC)	GENERAL CORRESPONDENCE
47 (INS)	INSURANCE
50 (LG)	LEGAL
55 (LEG)	LEGISLATION
60 (PER)	PERSONNEL
65 (P/P)	POLICIES/PROCEDURES
70 (PS)	POLITICAL SUBDIVISIONS
72 (REF)	REFERENCE MATERIALS
75 (SA)	SAFETY/SECURITY
80 (SPS)	PROGRAMS, PROJECTS AND SERVICES
81 (SPR)	SPECIAL PROJECTS
85 (S/D)	STAFF/DIVISION/UNIT
90 (S/S/R)	SURVEY/STUDY/REPORT
95 (TS)	TRANSPORTATION SYSTEM
97 (VI)	VENDOR INFORMATION

b. DEFINITIONS OF NORTH DAKOTA SUBJECT CLASSIFICATION SYSTEM

01 (ACT) ACCOUNTING - All functions involved in a financial transaction.

- Accounts payable
- Accounts receivable
- Audits (intradepartmental) - (State Auditor) - agency
- Budgets (intradepartmental)
- Funds
- Inventories
- Invoices
- Liabilities
- Payroll
- Purchase orders
- Requisitions
- Revenue sharing
- Status of funds
- Tax vouchers

05 (AF) AGENCY FEDERAL - Information related to a federal agency (reports, data, correspondence, etc.) which are not directly related to programs administered by your office.

- Bureau of Reclamation/Water and Power Resources
- Civil Service Commission
- Corps of Engineers
- Environmental Protection Agency

10 (AS) AGENCY STATE - Information relating to any state agency (reports, data, correspondence, etc.) which are not directly related to programs administered by your office.

- Attorney General
- Department of Transportation
- Game and Fish
- Governor
- Health and Consolidated Laboratories
- Highway Patrol
- Labor Commission
- NDPERS
- Parks and Recreation
- Public Service Commission
- State Historical Society
- Water Commission
- Workers Compensation Bureau

14 (AOC) ASSOCIATIONS - Information concerning organizations outside of the department. (Corporate data, membership rosters, institutes, trade groups.)

- Association of Records Managers & Administrators
- County Commissioner
- Corridor Board
- Greater North Dakota Association
- National Association of Governors
- Highway Safety Representation
- Wildlife Society

15 (AUD) AUDITS - All information related to audit projects (reports, data, correspondence, etc.). Generally, audit information will be placed under 01 - Accounting. Upon request, ITD Records Management will evaluate the need to place audit information under this category.

17 (BUD) BUDGETS - All information related to budgeting (reports, data, correspondence, etc.). Generally, budget information will be placed under 01 - Accounting. Upon request, ITD Records Management will evaluate the need to place budget information under this category.

18 (CR) CIVIL RIGHTS - Material relating to affirmative action, EEO, equal employment, minority businesses, and Title IV, VI, and VIII, and Americans with Disabilities Act.

- Audits
- Discrimination complaints
- Manuals
- Programs
- Projects

Reports

19 (CF) CASE FILES - Includes all records retained as case files, except legal cases.

- Clinical case files
- Medical case files
- Social case files

22 (C/M) COMMITTEE/MEETING - Committees, councils, boards, objectives, agendas, schedules, minutes, reports of and on meetings for the department/agency.

- Directors meetings
- Regional Councils

26 (COM) COMMUNICATIONS - Material dealing with any form of communication the agency has with the media or public.

- New releases
- Publications printed by your office
- Speeches

28 (CON) CONSULTANTS - Companies, engineers, or individuals that are or have the potential of being contracted by the department.

- Audits
- Contract and reimbursement information
- Guidelines
- Proposals
- References

30 (C/L/A) CONTRACTS/LEASES/AGREEMENTS - Information or documents regarding office agreements, leases, and contracts.

- Bid letting
- Deeds

35 (ED/T) EDUCATION/TRAINING - Any information regarding education, training, seminars, etc. that an employee attends or that is sponsored by the office.

- Funding
- Pamphlets
- Scholarships

43 (EQ) EQUIPMENT - Any information related to equipment actually owned or leased by the office (cameras, computers, software, copiers, typewriters).

- Owners manuals
- Service report
- Specification lists

44 (FOR) FORMS MANAGEMENT - All original forms used by your agency.

45 (GC) GENERAL CORRESPONDENCE - A miscellaneous category used only if records don't fall under any other category. These should have a short life span.

47 (INS) INSURANCE - Any insurance related information which pertains to the office.

- Claims
- Policies

50 (LG) LEGAL - Any communication with the legal division or law firms.

- Attorney General opinions
- Claims
- Complaints (see 18 Civil Rights)
- Litigation

55 (LEG) LEGISLATION - Reference material on what is proposed or enacted into law (federal, state, county, township, municipal).

- Initiatives
- Laws
- Referendums
- Regulations
- Requirements

60 (PER) PERSONNEL - Any information relating to personnel of the agency.

- Awards
- Benefits
- Compensation
- Development
- Employment records
- Job descriptions
- Orientation
- Position classification
- Resumes

65 (P/P) POLICIES/PROCEDURES - Guidelines on established principles and methods of operation for the office.

- Lists
- Manuals

70 (PS) POLITICAL SUBDIVISIONS - Any city, county, or township information not relating to a project file.

- Zoning

72 (REF) REFERENCE MATERIALS - Material used for reference purposes only.

- Books
- Magazines

75 (SA) SAFETY/SECURITY - Records relating to operating safety requirements, precautions, protection from damages, risk, injury, and reports pertaining to safety.

- OSHA
- Personnel safety
- Procedures
- Regulations

80 (SPS) PROGRAMS, PROJECTS AND SERVICES - Programs and services not related to other categories. Includes programs and services provided by your agency.

- Busing for elderly
- Disaster emergency
- Garrison Diversion
- Grants
- Pavement markings
- Special mill levy program

81 (SPR) SPECIAL PROJECTS - Special projects provided by your department. These projects are generally "one-time" and are of shorter duration than programs or services.

85 (S/D) STAFF/DIVISION/UNIT - Statistical data, memos within your own staff or with other divisions within your own agency/department. These will have a short life span.

- Intra-agency correspondence
- Monthly staff reports
- Travel

90 (S/S/R) SURVEY/STUDY/REPORT - Statistical data, comprehensive or comparative studies, and recurring reports that don't pertain to any other category.

95 (TS) TRANSPORTATION SYSTEM - Material relating to airways, railways, roadways, and waterways.

97 (VI) VENDOR INFORMATION - All information received from vendors for equipment not owned, leased, or used by your department.

- Brochures
- Pamphlets
- Specifications

F. RECORDS MANAGEMENT PROGRAM AUDITS

In order to determine agency compliance with the records and forms management standards published in the North Dakota Administrative Code, Article 4-09 and Article 4-10, the Records Management Section will conduct an audit of existing records management programs in state agencies. The purpose of the following sections is to provide an outline of the areas that will be evaluated during the records management audit.

1. ANNUAL RECORD DISPOSALS

The records management analyst will review the Records Disposal Log to determine if the agency has completed their annual records disposals. The records management analyst will also review the agency's active and inactive files to determine if the records were actually disposed according to the Records Disposal Report.

2. RECORDS RETENTION SCHEDULE WITH DESCRIPTIONS

The records management analyst will review the Records Retention Schedule with Descriptions with the agency to determine if the document is still current or if records need to be added, deleted, or changed.

3. FILING SYSTEM

The records management analyst will evaluate the current filing systems used to store active and inactive records for efficiency.

4. FORMS MANAGEMENT

The records management analyst will evaluate every form used by the agency to determine compliance with forms design standards.

The records management analyst will develop a records management audit report which summarizes the findings and recommendations of the audit for the agency director.

The audit report is intended to provide the agency with information required to maintain their records management program accurately and in compliance with applicable North Dakota Century Code statutes.

G. ELECTRONIC RECORDS MANAGEMENT

In March 1997, Information Services Division formed an ad hoc committee to address the issues related to the management of electronic records. The goal of the Electronic Records Committee was to draft guidelines for state agencies and county, city, and park district offices to use in the management of electronic records. The Electronic Records Committee consists of representatives from thirty-four state agencies.

The extensive use of automation to conduct government business has resulted in the proliferation of electronic state records. Electronic records create many new concerns regarding the management of such records.

1. Records in electronic format are hardware and software dependent. These records can only be read and understood if the storage medium can be read by existing equipment and if the programs used to create the digitized data are still available.
2. With the move from mainframe applications to individual and networked personal computers, the risk of data loss increases and the likelihood of regular migration decreases. Desktop users are less likely to be aware of necessary documentation procedures to ensure that data can be read in the future.
3. Currently, most electronic information systems used to create, receive, and store these records do not provide full records management functionality. Agencies need to adopt electronic information systems that provide proper controls over the creation or acquisition of records, maintenance of records in context with the function or activity performed, and disposition according to approved retention schedules in order to manage their records in electronic form. Only systems possessing these characteristics can be defined as “Electronic Recordkeeping Systems.”

The purpose of the [Electronic Records Management Guidelines](#) is to provide guidance on effective management of electronic records to North Dakota state agencies and county, city, and park district offices. Contact the Records Management Section to obtain a copy of these guidelines.

III. FORMS MANAGEMENT PROGRAM

The second area of an effective records management system is a forms management program. The forms management program for the State of North Dakota was established July 1, 1983, with the enactment of Section 54-44.6 of the North Dakota Century Code.

Forms management is a cost-saving program designed to reduce the cost of creating, maintaining and distributing information. Forms standards have been developed as a solid basis for evaluating forms requirements. Application of these standards will save bottom-line dollars on forms and also improve the efficiency and accuracy of government operations.

Forms - the tools of the paperwork system - are the most widely used type of business record in government and the private sector. Forms are the chief means of communicating information in a methodical and standardized way.

Forms management, through review, analysis, and application of sound principles of forms design, insures the right form will be in the right place at the right time.

The North Dakota state forms management program includes, but is not limited to:

- * reviewing and analyzing all forms used in state government.
- * eliminating the forms that are not needed.
- * creating new forms if they are needed and justified.
- * improving forms for our private sector.
- * designing forms for maximum efficiency and quality.
- * assuring forms integrate into the state's information system.
- * combining forms that serve similar purposes.
- * simplifying forms to ease the government paperwork burden.
- * providing forms that are economical to produce and use.
- * changing existing forms when needs change.
- * creating a central inventory and classification of all forms.
- * stopping the origin of inefficient and unnecessary forms.
- * expediting the availability of required forms.
- * maintaining standards for forms quality.
- * improving the public and employee attitudes about state forms.

A. DEFINITION - WHAT IS A FORM?

A form is a tool to get a job done. It performs a function in work communication. The end result of any job is only as good as the tools used in performing the work. A form usually does one or more of three things: it initiates an action, it records a transaction, or it reports something.

The Century Code definition of a form is found in Section 54-44.6-02 (See Appendix A): "Form" means any document designed to record information, and containing blank spaces and

which may contain headings, captions, boxes or other printed or written devices to guide the entry and interpretation of the information.

B. INVENTORY OF STATE FORMS

During the records management audit, a collection of each form currently being used in an agency is completed for analysis and review. The forms inventory assists in the elimination, simplification, and combination of forms. The completion of the inventory determines the following:

1. Assignment of a state form number.
2. Duplication of information gathered on similar forms.
3. Purpose of the form.
4. Utilization of the forms design standards.
5. Possibility of the development of a universal form.

C. FORMS ANALYSIS

Forms analysis is a major element of the state forms management program. Through forms analysis it can be determined if a form is needed, what a form should do, what and where information should appear on a form, and the kind of form needed for the greatest efficiency and economy. It assures that the needed forms will be available, and available forms will be properly designed.

Development of a good forms analysis involves cooperation and participation from the managers and directors of a program, computer programmers and operators if the form can be or is part of an automated system, and from the users of the form. Input from those who complete and process the form is vital.

Forms analysis involves fact finding through research. Appendix E to this manual illustrates the general process to analyze a form. Since each form is unique, the actual detail of the analysis will vary for each form.

The ITD Records Management Section will provide forms analysis services, training, and assistance to agencies on request.

D. FORMS DESIGN

Agencies have several options when it is time to design their forms. The agency can design their own forms using programs loaded on their computers; they can contract with a vendor for forms design services; or they can request forms design services from the Central Services Division.

Whichever option is selected, all state forms must meet the forms design standards in Chapter III, Section K - [Standards for State of North Dakota Forms](#).

Compliance with the Standards for State of North Dakota Forms will be reviewed during the records management program audit for the agency.

E. STATE FORM NUMBERING SYSTEM

To comply with the North Dakota Century Code, the ITD Records Management Section has a central numbering system for all state forms. The state form number (SFN) must be printed on all forms in the title block.

Each state form number is unique. The number is not duplicated on any other active form, either within a department or on the entire state form numbering system. Agency forms coordinators are responsible to see that their agency uses the state form numbering system for indexing, inventory, and identification of their forms. The **state form number** will be the permanent identification number for a form.

When a form becomes obsolete, the state form number will be retired. Agency forms coordinators are responsible for advising Central Services about obsolete forms by sending a letter identifying the forms to delete.

F. ANNUAL FORMS INVENTORY REPORT

The ITD Records Management Section annually distributes a forms inventory report to each agency and division. The report lists all state forms maintained and used by that agency or division. Each agency or division coordinator is responsible to update the inventory and return the list to the Central Services Division.

G. UNIVERSAL AND DUPLICATIVE FORMS

The North Dakota Century Code requires the ITD Records Management Section to conduct surveys of forms management practices to identify forms which can be standardized, consolidated, or eliminated as duplicative and unnecessary.

There are many state forms which are identical to others except for one or more minor items. In some cases the data collected are identical, but the purpose for collecting them vary. In other cases, separate forms collect varying data for similar or identical purposes. The feasibility of combining forms of these types will be examined.

A progressive state accounting and payroll system has provided many forms used by all units of government. There are other personnel and administrative forms which can and will be standardized. As the state forms management program continues, there will be additional universal state forms available for use by all state agencies.

Development of standardized and universal state forms is a responsibility of the ITD Records Management Section. Activities in the development of universal forms will be coordinated with printing services, data processing personnel, appropriate agency forms coordinators, and others. Audit and legal advice will be obtained as indicated by the form being considered.

A list of the current universal state forms is included as Appendix D to this manual. An agency may find it necessary to make minor changes in some procedures to use the universal state forms. These changes should enhance the efficiency of the agency and at the same time provide the agency with all needed documentation. There will be improved coordination among state agencies and an overall decrease in the cost of the state's paperwork.

An agency may find that a universal state form is not essential for use in its operations. It will not be mandatory for an agency to adopt use of all universal forms; however, no printing approval will be given on any modified versions of a universal form.

H. BOOTLEG FORMS

The biggest stumbling block in any forms management program is the office copy machine. The ease and speed with which copies may be produced encourages the reproduction of forms which have not been officially made a part of the system. A solution to this problem will help every agency develop increased efficiency and economy in operations.

Forms which are not officially authorized are commonly known as "bootleg" forms. Not all bootleg forms are reproduced on copy machines, but that is where the largest number are made. Not all bootleg forms are bad forms - some do belong in the system. The important thing is to analyze them and determine why they are being used.

Perhaps the system is defective and the bootleg form is an attempt to remedy the defect.

Perhaps the system is changing, and the bootleg form is an attempt to meet a need.

Perhaps the originator was not aware of the forms analysis and design services available through the ITD Records Management Section.

Forms analysis done by the ITD Records Management Section will evaluate bootleg forms as well as "authorized" forms to assist agencies in gaining all possible cost savings.

I. FORMS FILING AND INDEXING

All agencies should maintain an indexed system for filing all masters (originals) and all printed copies of their forms. The state form number should be used as the basis for that filing system. Each state form number is unique and is not duplicated on any other active form either within the agency or in the entire central state form numbering system. A good master of a form is needed for reproduction.

Careful protection of those masters will assure a good original will be available for the next printing. The end result of a printing job will be no better than the master furnished to the printer. When a job is complete, the printer must return the master to the agency along with the completed job. The master should then be filed in a folder, or envelope for large plates, so it will be protected from smudging, wrinkling, and other damage. These should be arranged in state form number order so when it's time to reprint the form, the master can be easily located.

If a form has been revised, once printing of the new version is complete, all obsolete masters of the form must be destroyed. This will help avoid the expensive problem of reprinting an obsolete form.

Shelves for forms in work areas or stockrooms should be labeled with state form numbers, and forms placed in state form number sequence. This will provide an efficient means of locating forms, and keeping track of quantities.

It is recommended the masters and printed stocks of forms be centrally located under the control of the agency forms coordinator. This will facilitate better planning of quantities to order and stock, and result in better cost control.

J. FORMS DESIGN PRINCIPLES

The North Dakota Century Code directs the state forms management program to develop and implement standards for design.

Design of a form evolves out of a forms analysis. Items determined essential through the analysis are built into the form. Items that are not needed are eliminated. When the essential elements of the analysis are properly designed into the form it will take less time to complete, process, file, and locate later. The data will have greater value, be easy to use, and be more accurate. Design principles, properly applied, will benefit every state agency through greater efficiency and cost savings.

The basic elements of forms design are:

1. Title and identification
2. Paper and ink
3. Captions
4. Spaces

5. Order
6. Appearance

1. TITLE BLOCK AND IDENTIFICATION

Many state forms do not have titles and do not indicate which state agency originates and is responsible for the form. A great percentage of these unidentified forms are classed as **"public impact forms"** - *distributed to the public/private sectors of North Dakota.*

Without proper title and agency identification, a person may not be sure they are completing the right form for an intended purpose, or even for the right unit of state government. Titles also aid employees in knowing the purpose of a form, where to file or locate forms and records, and the relationship of forms to records retention schedules.

Forms will not be printed on letterhead as a means of agency identification. The standard title block saves paper and provides better identification of a form. Stationery usually includes names of personnel. When personnel change, the letterhead and any forms printed on it become obsolete. Unnecessary costs are incurred to reprint the form. No person's name will appear on any State of North Dakota form.

A title for a form should be as brief and simple as possible. Four words is the guideline for maximum length. A title must clearly state the function or purpose of the form, and will not use in-house terminology. Words such as "form" or "sheet" are not to be used in the title of a form - the fact it is a form, sheet, or card is obvious.

Appendix F of this manual is a list of key words for titling a form. The title of the form will be the first line in the standard state form title block as outlined in Chapter III, Section K - [Standards for State of North Dakota Forms](#).

The name of the agency that originates and is responsible for the form will be the second line of the standard title block. The third line of the forms identification will have the state form number preceded by the letters "SFN" and the edition date. The agency may include a division name as the third line and then move the state form number and edition date to the fourth line.



RECORD SERIES DESCRIPTION

INFORMATION TECHNOLOGY DEPARTMENT
SFN 2042 (6-99)

(12 point - Bold)

(10 point)

(8 point)

The Great Seal of the State of North Dakota will be part of the title block on all public impact forms, and is optional on forms used within an office or agency and electronic forms, such as those completed and stored electronically or Web-based forms. If the Seal is not used on the electronic or internal form, the words "North Dakota" must precede the name of the agency in the title block. The title block will be placed in the upper left corner of the form whenever possible.

2. PAPER AND INK

Size - The standard size paper for State of North Dakota forms will be 8 1/2 x 11 inches and sizes to which it can be cut without waste. Standard sizes in the commercial printing industry may include 11 x 17 inches, and 22 x 34 inches. Those sizes can be cut to 8 1/2 x 11 inches without waste.

Legal-size forms are to be avoided. A review of legal-size state forms reveals that nearly all can be revised to letter-size without loss of data.

All parts of a multi-part form are to be printed on the same size paper. Costs increase when different size sheets are collated and bound together as a unit, since this is usually a manual operation.

Forms printed on one side of letter-size paper are usually more efficient than smaller forms printed on two sides of paper. Forms printed on two sides are usually more efficient than two separate pages and add less bulk to the files. Forms printed on one side will cost less to microfilm. Two letter-size forms are usually more efficient than one oversized form.

Costs increase when several sizes of paper must be stocked for printing and for copy machines. Copying machines and micrographic equipment are more expensive to buy and operate when various sizes of paper are used. Finding a document in a file is easier if all papers are of the same size.

Color - Colored paper can be used as a tool in sorting and distributing high volume paperwork. For general use, colored paper has some disadvantages, such as: (1) it is usually more expensive than white paper, (2) it may not microfilm or copy clearly, (3) it lacks a professional image, (4) some colors may cause eyestrain for the user, and (5) reprints may not match.

Standard color and color sequence of carbonless (NCR) paper is available for printing state forms. The sequence of the colors may vary depending on the number of parts in a set. The original of all NCR paper sets is white paper. Forms with multiple parts will not deviate from the standard available carbonless paper. Information on use, color and sequence of carbonless paper is available from Central Services Division.

Generally, forms will be printed in **black ink**. Ink must reproduce on copy machines and microfilm. Where it is necessary to have accent or separation to sections of a form, bold, fine, or broken lines, reverse print, or screening in black can be used. Some special effects may increase the cost of composing and printing forms and should only be used when cost-justifiable. It is cheaper to use special effects in black ink than to use accents in different color ink. Each color ink can require a separate press run which increases printing costs.

Forms intended for use by persons with visual disabilities, and those for senior citizens in general, should be printed in clear, large type with black ink on a matte finished white paper. Glossy paper reflects light and colored ink may lack contrast; either or both can make forms difficult to read.

Carbonless (NCR) paper of up to six parts is suitable for typed forms, and up to three parts for handwritten.

Twenty-pound paper is recommended for most general purpose state forms. Different weights may be necessary for special use forms.

3. CAPTIONS

Captions are short instructions or questions which should provide or obtain exact information with a minimum of effort and without confusion. Wording should be designed so the person who fills in the form can interpret the caption clearly and easily. Words and phrases should be as simple as possible.

Forms can have too many or too few words. If they have too many, they are not read. If too few, they may not be understood. All forms are to be designed so they are self-explanatory to the person who is using the form.

With well-designed captions, a form can send its message and do its job. Captions must cover only one point so the meaning will not be misunderstood. In-house terminology should be avoided, especially on forms used with the public/private sector. The typical form should be designed so it would cause no confusion to a person with an eighth grade education.

Properly designed captions eliminate or reduce the need for lengthy instructions. If instructions are needed, they are to be separate from the data gathering portion - body - of the form.

Upper left captions in a box format will be the design standard for State of North Dakota forms (see Chapter III, Section K - [Standards for State of North Dakota Forms](#)).

Upper left captions do not interfere with writing or typing space and are not hidden by the typewriter mechanism, or by the hand while filling in a form. Upper left captions in the box format are to be in small type, generally 8-point size in regular face - not bold or italic. The captions will be in lower case letters with a minimum of capitalization to conserve space, look neater, and be easier to read. When the form is completed, upper left captions will become secondary to the filled-in data.

Valuable paper space is consumed by captions either on or beneath the lines where data are to be entered, and neither result in a form that can be efficiently completed. Upper left captions make it possible to design a form with a minimum of tab stops, which is a

measure of efficiency and cost-savings for forms that are typed, filled in by hand, or printed on any mechanical system.

a. Box Format with Upper Left Captions

Name (Last, First, Middle)		Social Security Number		Report Date
Residence Address	City		State	Zip Code
Job Title			Grade	Classification
Division	Supervisor			Date Hired

YES

b. Captions on the Line

NAME (Last, First, Middle) _____ Social Security Number _____ Report Date _____

Residence Address _____ City _____ State _____ Zip Code _____

Job Title _____ Grade _____ Classification _____

Division _____ Supervisor _____ Date Hired _____

NO

c. Captions Beneath the Line

NAME (Last, First, Middle)	Social Security Number	Report Date
Residence Address	City	State
Job Title	Grade	Classification
Division	Supervisor	Date Hired

NO

d. Captions on the Line/Right Justified for Vertical Alignment

NAME (Last, First, Middle) _____ Social Security Number _____ Report Date _____

Residence Address _____ City _____ Zip Code _____

Job Title _____ Grade _____ Classification _____

Division _____ Supervisor _____ Date Hired _____

NO

e. Reasons the Box Design with Upper Left Captions (Example A) is Best:

- (1) The captions become secondary after the data is entered.
- (2) The captions do not consume valuable paper space that is needed for entering information.
- (3) Typewriter tabs are easier to set up, are fewer, and more efficient to use.
- (4) The captions are not hidden by the typewriter mechanism or by the hand while filling in the form.
- (5) It is easier to provide the necessary amount of space for each of the form's data entry areas.
- (6) It allows a smaller, more compact, and efficient form.
- (7) Retrieval of data will be easier and more efficient because data entered is easier to locate for use.
- (8) The form will have better visual appearance.

4. SPACES

A critical part of forms design is assuring the right amount of space is provided for entries that will be made on the form. Given too much or too little space, persons filling in forms may not be sure they are giving the right answer. Accuracy may be impaired. If the user has to write, call, or visit an office to have a form interpreted, it is an inconvenience and unnecessary expense to the user as well as to the office.

Forms analysis reviews the needs and predicts the proper amount of space for the typical anticipated answer. Those space requirements are then correlated to whatever equipment or process will be used to fill in the form.

Many items of information obtained on forms by state agencies are of a specific or predictable size. For example, social security numbers have nine digits, ages have from one to three digits, etc. A schedule of some routine space requirements can be found in Appendix G to this manual.

Horizontal space (pitch) is measured across a page. Vertical space (throw) is measured up and down. Typewriters commonly have a pitch of 10 characters per inch (pica), or 12 (elite), or both. Proportional spaces, 15 and 17 cpi type, are also available.

Standards for horizontal space (pitch) on forms will be related to (1) the data to be gathered by the form, (2) the equipment or manual process by which the form will be completed, and (3) other individual characteristics of the form. One inch of space should be allowed for every four to six characters. This provides adequate space for most handwriting and is also good for typed entries.

Standards for vertical spacing (throw) on a form will be related to the six lines per inch standard throw of typewriters and computer printers. A form may have a combination of single, double, and triple spacing, but every line must automatically conform to the throw of the equipment on which the form may be completed.

With box formatting and upper left captions, the most effective vertical spacing on forms is three text boxes per inch, which is equal to double spacing on a typewriter. This is also the recommended size for handwriting.

Margins - Forms need margins of clear area for press gripper space, for appearance, and sometimes for punching holes and binding. All forms will allow a minimum of a 1/4-inch margin on all four sides of the form.

5. ORDER

Many forms take more time than necessary to complete and process because fill-in items are scattered randomly over the working part of the form. This is particularly true of forms printed in narrative. Such forms should be redesigned so that fill-in items are vertically aligned, separated from any narrative text, and given some logical order with box formats and upper left captions. This will reduce the time needed to complete a form, to find items, and is also insurance that all items will be filled in.

The sequence of items on the form is important to the speed and accuracy of entering and extracting data. If items are taken from or entered onto other documents, all must have the same order. People are accustomed to reading from left to right and top to bottom, and forms should use that order. Some sequences are familiar, such as number, street, city, state, and zip code. The sequence of items on a form must follow the flow of work.

Most forms are composed of five basic parts:

- (1)**Identification** - *the standard title block.*
- (2)**Introduction** - *the who, what, and when.*
- (3)**Body** - *the data entry area.*
- (4)**Instructions** - *directions to users.*
- (5)**Conclusion** - *affidavits and signatures.*

Not all five parts are required on every form, but, however many there are, the sequence will be the same on all state forms.

(1) **Identification** - The title block will be standard on all forms. The title block should be placed in the upper left corner of the form whenever possible. There will be no person's name on any form.

(2) **The introduction** on state forms will not generally be needed since proper captions and instructions will cover most introductory items. Reference to the North Dakota Century Code is defined as an introduction. For most purposes, all that is necessary on a form is the chapter/section number from the Century Code. It is seldom necessary on a form to use quotes from the Century Code, and when used, those quotes are not part of the introduction.

(3) **The body** of the form is the most important part. This gathers or compiles the data and is the reason for which the form exists. All other parts of the form merely

If a compromise needs to be made between the amount of space allowed for any item and the need for vertical alignment, the vertical alignment should have first consideration. However, if adjustment is needed, it must be so that data entry areas provided are larger than minimum requirements.

Name (Last, First)		Birthdate
Street Address		County
City	State	Zip Code
Mother's Name	Her Age	Her Telephone Number



Last Name		First Name		Birthdate	
Street Address			County		
City		State		Zip Code	
Mother's Name			Her Age	Her Telephone Number	



(a) How to fill in the form - typing, printing, pen or pencil, etc. This should be at the top of the form where it can be read before starting to fill in data.

- (b) Where and when the form is to be presented, submitted, or mailed.
- (c) To whom a check would be payable and the amount due.
- (d) Documents or items to be submitted with the form.
- (e) Distribution/Routing instructions.

43

redundant statement. It is not necessary to instruct that a form *must be completed in its entirety*; it is understood that a form must be completed. If the form is properly designed, it will be completed.

EXAMPLE OF BRIEF INSTRUCTIONS FOR A FORM

PRINT with Black Ball Point - Read instructions on reverse before starting to fill in this form.

Name of Applicant		Application Date
Mailing Address		
City	State	Zip Code

1. Submit prior to June 30.
2. Attach a copy of birth certificate.
3. Fee of \$25 payable to XXXXXX.
4. Mail to XXXX, Bismarck, ND 58505.
5. Keep pink copy.

Signature of Applicant

Routing/distribution instructions are needed on most multi-part forms. These will be placed on the bottom of the form using the legend method. With the legend method, the printing is the same on all parts of the forms, and only one printing plate is required. Printing costs less and all recipients are aware of the distribution of all other parts of the form. If routing instructions are printed with the marginal method, each part of the form indicates only its own destination. Separate printing plates are required for each part of the form and costs are increased. Routing to a specific office, if needed, will be to a division or program -- no person's name will be used as part of any routing instructions.

ROUTING/DISTRIBUTION INSTRUCTIONS

LEGEND METHOD - APPROVED

DISTRIBUTION:

WHITE - Director
YELLOW - Accounting
PINK - Applicant

DISTRIBUTION:

WHITE - Director
YELLOW - Accounting
PINK - Applicant

DISTRIBUTION:

WHITE - Director
YELLOW - Accounting
PINK - Applicant

MARGINAL METHOD - NOT APPROVED

To: Office of the Director

To: Accounting

To: Applicant

Filing reference data may also be part of the instructions on a form. This may be placed at the upper right corner of the form, or at the lower right, as dictated by filing, reference, binding or other requirements.

(5) The conclusion - The signature area of a form will generally be at the lower right of the form. Captions used in the body of the form will clarify all items on the form so that title, date, or other explanation will seldom be needed with the signature line. State of North Dakota forms will not require that a signature be notarized, unless it is specifically mandated in the North Dakota Century Code. Requiring a person to have a signature notarized when not required by law is both an inconvenience and an unnecessary expense.

6. APPEARANCE

A form communicates in two ways. One is through the appearance of the form and the other is through the language or words used on the form. Both ways communicate a certain idea and work together to relay a total message. Waste decreases when a form looks good. An attractive form is less likely to be used for notes or scratch paper. If a form gives the impression of being important, the user is more likely to be careful filling in and processing the form. Better data will be obtained.

Screening, reverse printing, and other graphic devices might improve a form and make it easier to process. However, when graphic devices are overdone, or when decorative borders and unnecessary ornamentation are used on a form, the form loses its image of being carefully or professionally designed. The fill-in data on a form is of prime importance and should not be overpowered by whatever is printed on the form.

The image the public/private sector has of an agency is influenced to a great extent by the quality of paperwork from that agency. Often, paperwork is the only contact the public has with a unit of state government, so that is what molds the image of state government. When the agency's forms and paperwork look professional and well organized, the public will gain the impression that the agency is professionally managed and operated.

K. STANDARDS FOR STATE OF NORTH DAKOTA FORMS

As outlined in North Dakota Administrative Code Article 4-10, the following forms design standards must be used for all forms. Exceptions to the standards will be reviewed on an individual basis for automated processes.

1. TITLE BLOCK

- a. All forms must be identified with a title block that contains:
 - (1) The title of the form to identify accurately the function or purpose of the form.
 - (2) The name of the agency that is the source or is responsible for the form.
 - (3) The state form number (SFN).
 - (4) The edition date of the form.

- b. The title block must be placed in the upper left corner of the form, whenever possible.
- c. The Great Seal of the State of North Dakota or agency logo must be part of the title block.
- d. If the Great Seal of the State of North Dakota is not used, the words "North Dakota" must be included in the name of the agency in the title block.
- e. Forms must not be printed or reproduced on letterhead.

2. PAPER AND INK

- a. The standard size paper for state forms is 8 1/2 X 11 inches, and sizes that can be cut from that size with a minimum of waste.
- b. The standard color for state forms is white, unless volume of usage or other factors justify the use of colored paper.
- c. The standard color ink for state forms is black. Only one color of ink will be used on a form.
- d. All state forms must be readily and clearly reproducible on copy machines and micrographics.
- e. If the printing process for a form requires collating or padding, all parts of the form will be on the same size paper.
- f. Forms for senior citizens and persons with visual disabilities will be printed on matte finished paper with readable type style in black ink.

3. CAPTIONS

- a. Captions must be brief, clear, and concise.
 - (1) A caption must only cover one item or point.
 - (2) Captions must be worded to avoid confusion.
- b. Forms must be designed in a box format with upper left captions.
 - (1) Type size must be 8-point or larger, where appropriate.
 - (2) Type style must be sans serif, regular weight.
 - (a) Bold type may be used for headings, but not for captions.
 - (b) Italic type may be used for instructions, but not captions.
 - (c) Script or cursive type style must not be used on any form.
 - (3) Type must be in lower case with only appropriate capitalization.

4. SPACES

- a. Standard vertical spacing (throw) on forms is:
 - (1) six lines per inch, or equal increments thereof.
 - (2) uniform layout over the entire form.
- b. Standard horizontal spacing (pitch) on forms is:
 - (1) determined through forms analysis.
 - (2) designed to fit data to be gathered by the form.
 - (3) designed to fit the method or equipment used with the form.
 - (4) uniform layout over the entire form.
- c. Routine space requirements - See Appendix G of this manual.

5. APPEARANCE

- a. All State of North Dakota forms must have a professional appearance.
 - (1) No decorations or embellishments.
 - (2) No more than two type styles on a form.
 - (3) Shading or screening are not to be used for decorative purposes.
- b. Forms must be simple and easy to read and complete.
 - (1) Clear, unsmudged black ink.
 - (2) Clear, clean, neat, basic good design.
- c. No typographical or grammatical errors.
- d. Adequate "white space" to enhance appearance.
- e. Economical use of paper without excessive white spaces.
- f. No names of any person will be used on any state form.

Appendix A

NORTH DAKOTA CENTURY CODE

A. North Dakota Open Record Statute.

NDCC 44-04-18 ACCESS TO PUBLIC RECORDS - ELECTRONICALLY STORED INFORMATION.

1. Except as otherwise specifically provided by law, all records of a public entity are public records, open and accessible for inspection during reasonable office hours. As used in this subsection, “reasonable office hours” includes all regular office hours of a public entity. If a public entity does not have regular office hours, the name and telephone number of a contact person authorized to provide access to the public entity’s records must be posted on the door of the office of the public entity, if any. Otherwise the information regarding the contact person must be filed with the secretary of state for state-level entities, for public entities defined in subdivision c of subsection 12 of section 44-04-17.1, the city auditor or designee of the city for city-level entities, or the county auditor or designee of the county for other entities.
2. Upon request for a copy of specific public records, any entity subject to subsection 1 shall furnish the requestor one copy of the public records requested. A request need not be made in person or in writing, and the copy must be mailed upon request. The entity may charge a reasonable fee for making or mailing the copy, or both. An entity may require payment before making or mailing the copy, or both. If the entity is not authorized to use the fees to cover the cost of providing or mailing the copy, or both, or if a copy machine is not readily available, the entity may make arrangements for the copy to be provided or mailed, or both, by another entity, public or private, and the requestor shall pay the fee to that other entity. As used in this subsection, “reasonable fee” means the actual cost to the public entity of making or mailing a copy of a record, or both, including labor, materials, postage, and equipment, but excluding any cost associated with locating, reviewing, or providing access to the requested record, or any cost associated with excising confidential or closed material under section 44-04-18.8. This subsection does not apply to copies of public records for which a different fee is specifically provided by law.
3. Except as provided in this subsection, nothing in this section requires a public entity to create or compile a record that does not exist. Access to an electronically stored record under this section, or a copy thereof, must be provided at the requestor’s option in either a printed document or through any other available medium. A computer file is not an available medium if no means exist to separate or prevent disclosure of any closed or confidential information contained in that file. Except as reasonably necessary to reveal the organization of data contained in an electronically stored record, a public entity is not required to provide an electronically stored record in different structure, format, or organization. This section does not require a public entity to provide a requestor with access to a computer terminal.
4. A state-level public entity as defined in subdivision a of subsection 12 of section 44-04-17.1 may establish procedures for providing access from an outside location to any

computer data base or electronically filed or stored information maintained by that entity. The procedures must address the measures that are necessary to maintain the confidentiality of information protected by federal or state law. Except for access provided to another state-level public entity, the entity may charge a reasonable fee for providing that outside access. If the original information is keyed, entered, provided, compiled, or submitted by any political subdivision, the fees must be shared by the state and the political subdivision based on their proportional costs to make the data available.

5. Any request under this section for records in the possession of a public entity by a party to a criminal or civil action or adverse administrative proceeding involving that entity, or by an agent of the party, must comply with applicable discovery rules and must be made to the attorney representing that entity in the criminal or civil action or adverse administrative proceeding.
6. A denial or a request for records made under this section must describe the legal authority for the denial and must be in writing if requested.
7. This section is violated when a person's right to review or receive a copy of a record that is not exempt or confidential is denied or unreasonably delayed.
8. It is not an unreasonable delay or a denial of access under this section to withhold from the public a record that is prepared at the express direction of, and for presentation to, a governing body until the record is mailed or otherwise provided to a member of the body or until the next meeting of the body, whichever occurs first. It also is not unreasonable delay or a denial of access to withhold from the public a working paper or preliminary draft until a final draft is completed, the record is distributed to a member of a governing body or discussed by the body at an open meeting, or work is discontinued on the draft but no final version has been prepared, whichever occurs first.

B. Public employee personal, medical, and employee assistance records - Confidentiality.

NDCC 44-04-18.1 *PUBLIC EMPLOYEE PERSONAL, MEDICAL, AND EMPLOYEE ASSISTANCE RECORDS - CONFIDENTIALITY.*

1. Any record of a public employee's medical treatment or use of an employee assistance program is not to become part of that employee's personnel record and is confidential and may not be released without the written consent of the employee. As used in this section, the term "public employee" includes any person employed by a public entity.
2. Except as otherwise specifically provided by law, personal information regarding a public employee contained in an employee's personnel record or given to the state or a political subdivision by the employee in the course of employment is exempt. As used in this section, "personal information" means a person's home address; home telephone number; photograph; medical information; motor vehicle operator's identification number; social security number; payroll deduction information; the name, address, phone number, date of birth, and social security number of any dependent or emergency contact; any credit, debit, or electronic fund transfer card number; and any account number at a bank or other financial institution.
3. Nonconfidential information contained in a personnel record of an employee of a public entity as defined in subdivision c of subsection 12 of section 44-04-17.1 is exempt.

C. Penalties.

NDCC 12.1-11-05. *TAMPERING WITH PUBLIC RECORDS*

1. A person is guilty of an offense if he:
 - a. Knowingly makes a false entry in or false alteration of a government record; or
 - b. Knowingly, without lawful authority, destroys, conceals, removes, or otherwise impairs the verity or availability of a government record.
2. The offense is:
 - a. A class C felony if committed by a public servant who has custody of the government record.
 - b. A class A misdemeanor if committed by any other person.
3. In this section "government record" means:
 - a. Any record, document, or thing belonging to, or received or kept by the government for information or record.
 - b. Any other record, document, or thing required to be kept by law, pursuant, in fact, to a statute which expressly invokes the sanctions of this section.

NDCC 12.1-11-06. PUBLIC SERVANT REFUSING TO PERFORM DUTY. Any public servant who knowingly refuses to perform any duty imposed upon him by law is guilty of a class A misdemeanor.

D. Records Management.

NDCC 54-46-02. *DEFINITIONS.*

As used in this chapter, unless the context or subject matter otherwise requires:

1. "Agency" means any department, office, commission, board, or other unit, however designated, of the executive branch of state government.
2. "Record" means document, book, paper, photograph, sound recording or other material, regardless of physical form or characteristics, made or received pursuant to law or in connection with the transaction of official business. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included within the definition of records as used in this chapter.
3. "State record" means:
 - a. A record of a department, office, commission, board, or other agency, however designated, of the state government.
 - b. A record of the state legislative assembly.
 - c. A record of any court of record, whether of statewide or local jurisdiction.
 - d. Any other record designated or treated as a state record under state law.

NDCC 54-46-03. *STATE RECORDS ADMINISTRATOR.*

The chief information officer of the state or an individual designated by the chief information officer shall serve as the state records administrator, in this chapter referred to as the

administrator. The administrator shall establish and administer in the executive branch of state government a records management program, which will apply efficient and economical management methods to the creation, utilization, maintenance, retention, and final disposition of state records.

NDCC 54-46-04. *DUTIES OF ADMINISTRATOR.*

The administrator shall, with due regard for the functions of the agencies concerned:

1. Establish standards, procedures, and techniques for effective management of records.
2. Make continuing surveys of paperwork operations and recommend improvements in current records management practices including the use of space, equipment, and supplies employed in creating, maintaining, storing, and servicing records.
3. Establish standards for the preparation of schedules providing for the retention of state records of continuing value and for the final disposition of state records no longer possessing administrative, legal, or fiscal value.
4. Obtain reports from agencies as are required for the administration of the program.

NDCC 54-46-05. *DUTIES OF AGENCY HEADS.*

The head of each agency shall:

1. Establish and maintain an active, continuing program for the economical and efficient management of the records of the agency.
2. Make and maintain records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency designed to furnish information to protect the legal and financial rights of the state and of persons directly affected by the agency's activities.
3. Submit to the administrator, in accordance with the standards adopted by the administrator, schedules proposing the length of time each state record series warrants retention for administrative, legal, or fiscal purposes after it has been received by the agency.
4. Submit to the administrator lists of state records in the custody of the agency which are not needed in the transaction of current business and which do not have administrative, legal, or fiscal value.
5. Cooperate with the administrator in the conduct of surveys made by the administrator pursuant to this chapter.
6. Comply with the rules, standards, and procedures adopted by the administrator.

NDCC 54-46-06. *ASSISTANCE TO LEGISLATIVE AND JUDICIAL BRANCHES.*

Upon request, the administrator shall assist and advise in the establishment of records management programs in the legislative and judicial branches of state government and shall, as required by them, provide program services similar to those available to the executive branch of state government pursuant to the provisions of this chapter.

NDCC 54-46-07. *RECORDS NOT TO BE DAMAGED OR DESTROYED.*

All records made or received by or under the authority of or coming into the custody, control, or possession of public officials of this state in the course of their public duties are the property

of the state and may not be mutilated, destroyed, transferred, removed, or otherwise damaged or disposed of, in whole or in part, except as provided by law.

NDCC 54-46-08. *DETERMINATION NECESSARY FOR FINAL DISPOSITION OF RECORDS.*

Prior to the final disposition of any type or class of record, the administrator, after consultation with the official or department head concerned, the attorney general, the state auditor, and the state archivist, shall determine that the type or class of record has no further administrative, legal, or fiscal value and is subject to final disposition under section 54-46-08.1 or section 54-46-09. If a statute requiring retention of a record does not either provide a specific retention period or specifically provide that the record be permanently retained, the administrator, after completing the consultation required by this section, shall establish a specific retention period for the record. The administrator shall annually survey the state agencies and shall order final disposition under section 54-46-08.1 or section 54-46-09 of any records which have been determined to have no further administrative, legal, or fiscal value pursuant to this section.

NDCC 54-46-08.1. *PRESERVATION OF RECORDS FOUND TO BE ARCHIVAL RESOURCES.*

The official or department head concerned and the state archivist shall review any records determined to be subject to final disposition under section 54-46-08. Any records found to be of permanent value for research, reference, or other use appropriate to document the organization, function, policies, and transactions of government must be transferred to the state archivist for preservation as archival resources.

NDCC 54-46-09. *DESTRUCTION OF NONRECORD MATERIALS AND NONARCHIVAL RESOURCES.*

Nonrecord materials or materials not included within the definition of records as contained in this chapter may, if not otherwise prohibited by law, be destroyed at any time by the agency in possession of such materials without the prior approval of the administrator. The administrator may formulate procedures and interpretation to guide in the disposition of nonrecord materials. Records determined to be subject to final disposition under section 54-46-08 and not found to be of value as archival resources under section 54-46-08.1 must be destroyed by any suitable means as determined by the administrator.

NDCC 54-46-10. *RULES AND REGULATIONS.*

The administrator shall promulgate such rules and regulations as are necessary or proper to effectuate the purposes of this chapter.

NDCC 54-46-12. *COUNTY, CITY, AND PARK DISTRICT RECORDS - UNIFORM SYSTEM ESTABLISHED BY ADMINISTRATOR.*

The administrator shall adopt rules in accordance with chapter 28-32 consistent with specific requirements of state law for a uniform system of cataloging, reproduction, retention, and final disposition of county, city, and park district records. Upon adoption of the rules all county, city, and park district offices, departments, and agencies may establish and maintain the uniform system prescribed by the administrator.

NDCC 54-46-13. *RULES FOR STATE AND COUNTY SOCIAL SERVICE RECORDS - ADMINISTRATOR TO ADOPT.*

The administrator shall adopt rules in accordance with chapter 28-32 for state and county social service records. The rules adopted by the administrator must be consistent with records retention requirements imposed by federal law with respect to those records. The administrator, prior to adoption, amendment, or repeal of rules concerning state and county social service records, shall consult with the executive director of the department of human services.

NDCC 54-46-14. *CONTINUED CONFIDENTIALITY OF RECORDS.*

The head of an agency may provide, and the administrator may receive, any record necessary to effect the purposes of this chapter without regard to the confidential or secret nature of the information in the record. However, the administrator and agents or employees of the administrator involved with records management under this chapter are subject to the same restrictions and penalties regarding the dissemination of the information as are the personnel of the agency involved.

E. Forms Management

NDCC 54-44.6-01. *DECLARATION OF LEGISLATIVE INTENT.*

The legislative assembly finds and declares that there is a need to minimize the governmental paperwork burden for state and local government entities, individuals, businesses, and others; that the costs of collecting, maintaining, using, and disseminating information are constantly escalating due to the increasingly voluminous and complex nature of state statutes and regulations; that there is a need to coordinate, integrate, and to the extent practicable and appropriate, make uniform the information policies and practices in North Dakota; and that the governmental paperwork burden can best be eased by establishing a statewide forms management program within the office of management and budget.

NDCC 54-44.6-02. *DEFINITIONS.*

As used in this chapter, unless the context or subject matter otherwise requires:

1. "Agency" means any department, office, commission, board, or other unit, however designated, of the executive branch of state government.
2. "Form" means any document designed to record information and containing blank spaces and which may contain headings, captions, boxes, or other printed or written devices to guide the entry and interpretation of the information.

NDCC 54-44.6-03. *STATE FORMS MANAGER.*

The chief information officer of the state shall serve as the state forms manager. The manager shall administer in the executive branch of state government the forms management program established by this chapter. The program must apply efficient and economical management methods to the creation and utilization of state forms.

NDCC 54-44.6-04. *DUTIES OF MANAGER.*

The manager shall:

1. Establish a statewide forms management program, prescribing the standards and procedures for forms creation and utilization.
2. Conduct surveys of forms management practices to identify forms which can be standardized, consolidated, or eliminated as duplicative and unnecessary.
3. Assist agencies in the design of those forms which cannot be eliminated to minimize the effort and costs required to complete them.
4. Establish a forms management program to provide agencies with forms design and revision services and to develop and implement standards for design, typography, format, data sequence, analysis, and numbering of state forms.
5. Establish a central form numbering system and a central cross-index filing system of state forms.
6. Provide training for agency forms coordinators.

NDCC 54-44.6-05. *DUTIES OF AGENCIES.*

Each agency shall:

1. Establish and maintain an active, continuing program for the economical and efficient management of forms and cooperate with the manager in the conduct of forms management surveys.
2. Implement forms management rules and procedures issued by the manager.
3. Designate an agency forms coordinator who shall cooperate with the manager in the development of the content requirements of the form design process and who shall otherwise assist the agency and the office in implementing provisions of this chapter.

NDCC 54-44.6-06. *FORMS REVIEW.*

Agencies must submit any proposed new or revised form to the manager for review. The manager shall analyze the form, advise the affected agency of comments and recommendations, and assist the agency with any recommended revision of the form.

NDCC 54-44.6-07. *ASSISTANCE TO LEGISLATIVE AND JUDICIAL BRANCHES.*

Upon request, the manager shall assist and advise in the establishment of forms management programs in the legislative and judicial branches of state government and shall, as required by them, provide services similar to those available to the executive branch of state government.

NDCC 54-44.6-08. *RULES.*

The manager may adopt any rules necessary to effectuate the purposes of this chapter.

F. Reproductions Admissible in Evidence

NDCC 54-46.1-03. Reproductions admissible in evidence - Preparation of copies.

A photographic, microphotographic, or microfilm copy of any record, a paper or microfilm reproduction of any record stored by optical disk, or a certified copy thereof, is admissible as evidence in any court or proceeding; and has the same force and effect as though the original

record has been produced and proved. The custodian of such records shall prepare enlarged copies of records stored by optical disk and shall document the accuracy of the processes whenever their production is required by law.

NDCC 31-08-01.1. Certain copies of business and public records admissible in evidence.

In any business, institution, member of a profession or calling, or any department or agency of government in the regular course of business activity has kept or recorded any memorandum, writing, entry, print, representation, or combination thereof, of any act, transaction, occurrence, or event, and in the regular course of business has caused any or all of the same to be recorded, copied, or reproduced by any photographic, photostatic, microfilm, microcard, miniature photographic, optical disk, or other process which accurately reproduces or forms a durable medium for so reproducing the original, the original may be destroyed in the regular course of business unless its preservation is required by law. Such reproduction, when satisfactorily identified, is as admissible in evidence as the original itself in any judicial or administrative proceeding whether the original is in existence or not and an enlargement or facsimile of such reproduction is likewise admissible in evidence if the original reproduction is in existence and available for inspection under direction of court. The introduction of a reproduced record, enlargement, or facsimile does not preclude admission of the original.

Appendix B

DEFINITIONS

1. Archival Resources: means those non-current public records which are no longer essential to the functioning of the agency of origin and which the State Archivist determines to have permanent value for research, reference, or other use appropriate to document the organization, function, policies, and transactions of government (section 55-02.1-01, NDCC).
2. Confidential Record: records expressly identified as confidential by: a) the North Dakota Century Code, b) the Code of Federal Regulations, or c) a state or federal court of law decision. Any other records are open for public inspection during reasonable office hours (see section 44-04-18, NDCC).
3. Form: any document designed to record information, and containing blank spaces and which may contain headings, captions, boxes or other printed or written devices to guide the entry and interpretation of the information.
4. Nonrecord Material: the following are not considered to be records:
 - Library and museum material made or acquired and preserved solely for reference or exhibition purposes.
 - Extra copies of documents retained only for convenience of reference.
 - Stocks of publications and of processed documents (section 54-46-02, NDCC).
5. Permanent Record: retention of any document with a long-lasting administrative, fiscal, or legal value. Permanent retention dates are subject to approval from the Records Management Task Force.
6. Processed document: includes the following:
 - Brochures or informational pamphlets for distribution.
 - Rough draft of letters.
 - Dictation machine tapes, mechanical records and data tapes which have been transcribed into typewritten or other printed form.
7. Record: a document, book, paper, photograph, sound recording or other material regardless of physical form or characteristics, made or received pursuant to law or in connection with the transaction of official business (section 54-46-02, NDCC).
 - Most records are created and retained to assist us in carrying out our routine operations.
 - Many records are required by law (taxes, patents, EEO, etc.).
 - Some records are important for their historical or archival value.
9. Records Inventory: a complete listing and analysis of all record series maintained by a department or division.

10. Records Management: those measures established to control the collection, storage, maintenance, retention, retrievability, and proper disposal or archival transfer of records.
11. Records Retention Schedule: a document that identifies the length of time a record must be retained in active and inactive storage and authorizes the transfer and disposition of all records of a department or division.
12. Record Series: a group of logically related records with the same retention and disposition value.
13. State Agency or Agency: includes any department, office, commission, board, or other unit, however designated, of the executive branch of state government (section 54-46-02, NDCC).
14. State Record: a record of a department, office, commission, board, or other entity, however designated, of the state government and shall also include the following:
 - A record of the state legislative assembly.
 - A record of any court of record, whether of statewide or of local jurisdiction.
 - Any other record designated or treated as a state record under state law (section 54-46-02, NDCC).
15. Vital Records: those records that an organization needs to resume activities after a disaster. These records must be adequately protected from damage or loss due to fire, tornado, accident, sabotage, etc.

Appendix C

ABBREVIATIONS USED FOR RECORD RETENTION SCHEDULES

<u>Abbrev.</u>	<u>Terminology</u>		
A#AP	After # Audit Periods	FL	Film Life
AA	After Audit and Report are Completed	LA	Life of Agreement
AAC	After Account Closed	LB	Life of Bond
AAFA	After Approved Federal Audit	LD	Life of the Dealer
AAT	After Action Taken	LM	Life of Member
ABC	After Business Closes	LOA	Life of Applicant
ACC	After Case Closed	LOB	Life of Bridge/Building
ACFY	After Current Fiscal Year	LOC	Life/Length of Contract
ACM*	After Conditions Met	LOD	Length of Deduction
ACP	After Close of Policy	LOE	Life of Equipment
ACR	After Code Repealed	LOF	Life of Form
AE	After Expired	LOM	Life of Machine (Life of Mine @ PSC)
AES	After Expiration of Sentence	LOP	Life of Program (Life of Pit @ DOT)
AFD	After Final Disposition	LOR	Life of Road
AFP	After Final Payment	LOS	Life of System (Computer)
AFRS	After Final Report Submitted	LOT	Life of Teacher
AGC	After Grant Closed	LR	Length of Rental
AL	After Legislature	MO	Month(s)
ALA	After Last Activity/After Last Action	NS	Not Specified
AM	After Maturity	O+CR	Original plus Current
AP	After Paid	PA	Past Appointment
APAR	After Printing of Annual Report	PERM	Permanent (PR)
AR	Administrative Review	PY	Program Year
APC	After Project Completed	RY	Review Yearly
ASC	After Survey Completed	UC	Until Canceled
AT	After Termination	UD	Updated/update
ATE	After Training Ends	UDR	Until Deceased/Retired
AW	After Withdrawn	UMR	Until Maturity Reached (age 18)
CB	Current Biennium	UR	Until Renewed/Registered/Reconciled
CBPB	Current Biennium Previous Biennium	URQ	Until Released from Quarantine
CR	Current	US	Until Summarized
CY	Current Year	VL	Vehicle Life
DAY	Day(s)	WA	While Active
DISP	Dispose of Record	YR	Year(s)
DOC	Duration of Commission		
EOC	End of Construction		

*AFTER CONDITIONS MET - CONDITION SPECIFIC TO YOUR AGENCY

Appendix D

STATE OF NORTH DAKOTA UNIVERSAL FORMS

SFN	TITLE OF FORM	AVAILABLE FROM
1890	Additional Outside Employment Agreement	Central Services Division
2003	Grant/Budget Input	OMB
2017	Interdepartmental Billing	Central Supply
2018	Abstract	Central Supply
2023	Purchase Requisition	Central Supply
2024	Journal Voucher	Central Supply
2026	Miscellaneous Claim for Payment	Central Supply
2028	Payroll Time Distribution	OMB
2029	State Employee Travel Expense Voucher	Central Supply
2033	Purchase Order	Central Supply
2037	Deposit to State Treasurer	Central Supply
2237	State Employee Service Record	Historical Society
2351	Request for Bid	Central Services Division
2469	State Employee Performance Review and Goals	Central Personnel Division
2564	Out of State Travel Authorization	OMB
2565	Complaint Report-To Purchasing Division	OMB
2566	Request for Delegated Authority to Purchase	OMB
2570	Job Announcement	Central Personnel Division
2572	Position Information Questionnaire (PIQ)	Central Personnel Division
2574	Advanced Payroll	OMB
2579	Request to Charter Aircraft	OMB
2580	Request to Emergency Commission	OMB
2584	Classification/Reclassification	Central Personnel Division
2585	Classified Appeal	Central Personnel Division
2706	Telephone Bid	Central Services Division
2708	Contract Bid	Central Services Division
2710	Summary of Bids	Central Services Division
2711	Mailing/Response List	Central Services Division
2743	Monthly Time Report	OMB
2746	Property Damage Claim	OMB
3096	Employee Grievance	Central Personnel Division
3159	Employee Status/Change of Status	Central Supply
3168	State Employee Request for Leave	Central Supply
3171	Mailing Record (book)	Central Mail Room
6796	Request to Fill Vacant Position	OMB
7000	Employee Withholding Statement	OMB
7012	Authorized Signature Vouchers	OMB

7015	Authorization to Receive Warrants	State Treasurer
9704	Car Reservation	Central Services Division
10000	Memorandum	Central Services Division
10230	Non-Employee Travel Reimbursement Claim	Central Services Division
10300	Time Card	Central Supply
10950	Application for Employment	Central Services Division
13090	Personnel Action Form (PAF)	OMB
13091	Personal Data	OMB
13095	Biographic Information Record	OMB
14377	Things To Do Today	Central Services Division
14391	Performance Evaluation	Central Services Division
14750	Employment Eligibility Verification (I-9 INS)	Central Personnel Division
16281	Meeting Registration	Central Services Division
16769	Drug Free Workplace Acknowledgment	Central Personnel Division
16859	Records Access and Review	Central Services Division
17313	Fax Cover Sheet	Central Services Division
17439	Employee Training Record	Central Services Division
17606	Exit Interview	Central Services Division
17653	Delegated Reclassification	Central Personnel Division
18409	Employee Grievance	OMB
18709	Travel Request	Central Services Division
19292	State Employee Donation of Leave	Central Personnel Division
19836	Job Analysis Information Worksheet	Central Services Division
50062	ADA Discrimination Complaint	Central Services Division
50428	Direct Deposit Employee Authorization	OMB
50429	Financial Institution Deduction	OMB
51460	Request for Proposal	Central Services Division
52015	Request for Quote	Central Services Division

Appendix E

FORMS ANALYSIS - FACT FINDING

FACT FINDING is the first step in forms analysis. This helps determine if a form should exist - the purpose and use of the form. *Facts are best gathered through a series of questions, such as:*

Whose form is it?
Who originated the form?
What is the form used for?
Why is the form used?
When is the information entered onto the form? How?
Where are the forms distributed? Microfilmed? Filed?
How does the form satisfy legal requirements?

The next step is to challenge the form

Is the form necessary? Why?
How have conditions changed?
What similar forms are in use?
What would happen if this form did not exist?
How can this form be combined with others?
How does this form relate to others in the system?
If automated, how can data be input nearer to the source?
In what respects does this form best serve its purpose?
In what respects does this form fail to serve its purpose?
How would you determine a better way?

Next, each item on the form is challenged

What definite purpose is served by each item?
What would happen if items were eliminated?
What does each item cost, compared to its value?
Which items have been added just to fill up space?
Which items are duplicative or unnecessary?
Which information is available elsewhere? Where?
What additional data are needed? Why?
How do items on the form comply with legal requirements?

Then, each part, page, or copy of the form is challenged

What is the purpose of each copy?
What action does the recipient take on the copy received?
If the recipient takes no action, why is that copy needed?
What would happen if some copies did not exist?

What unnecessary bulk do copies add to the files?
How many photocopies are made of this form?
Who should be getting a copy of the form, and doesn't?

All forms are unique. The above is just a general outline. A forms analysis will vary depending on the individual characteristics of each form.

Appendix F

KEY WORDS USED TO TITLE FORMS

ABSTRACT -a summary	INSTRUCTION -furnish with directions
ACCOUNT -record of debits and credits	INVENTORY -to itemize
ACKNOWLEDGMENT -a receipt	INVOICE -to bill or charge for
AFFIDAVIT -a declaration	ITINERARY -record of a trip
AGENDA -list of topics for meeting	JOURNAL -record of transactions and status
AGREEMENT -a contract	LEASE -to rent
ALLOTMENT -a distribution, a portion	LEDGER -record of accounts
APPEAL -request the review of	LIST -to catalog, enroll, register
APPLICATION -request something	LOG -record of progress
APPOINTMENT -selected for office, a scheduled meeting	MANIFEST -list of cargo
ASSIGNMENT -a transfer, a responsibility	MEMORANDUM -informal communication
AUDIT -verify correctness	MESSAGE -communication
AUTHORIZATION -a permit for an action	NOTE -acknowledge a debt
AWARD -to bestow	NOTICE -announcements
BID -to offer for a price	NOTIFICATION -advice of information
BILL -to itemize	ORDER -command
BOND -interest bearing certificate, performance insurance	PASS -permit to come and go
CANCELLATION -revocation	PERMIT -authorization for a specific act
CERTIFICATE -evidence of truth, verification	PETITION -formal request
CITATION -summons to appear, reference to source	QUESTIONNAIRE -list of questions
CLAIM -to ask as due	RECEIPT -acknowledge delivery or payment
COMMISSION -to grant power	RECOMMENDATION -advice
COMMUNICATION -interchange of information	RECORD -an account of facts or events
COMPLAINT -a formal allegation	REGISTER -list of events or actions in sequence
CONTRACT -binding agreement	RELEASE -set free or grant freedom
DEED -to convey real estate	REPORT -an account of action or status
DIARY -a daily record	REQUEST -ask for something
DIGEST -to classify and condense	REQUISITION -written order or request
DOCUMENT -to furnish information	RETURN -report on flow of funds, as tax return
ENDORSE -to write, to assign	ROSTER -a list of names
ESTIMATE -approximate calculation	SCHEDULE -log of events, plan of future action
FOLLOW-UP -seek completion of an action	SPECIFICATION -detailed requirements
GUIDE -direct the course of	STATEMENT -declaration, account of condition
IDENTIFICATION -name, proof of identity	SUMMARY -brief or condensed report
INDEX -list, reference	SURVEY/STUDY -analyze
INQUIRY -seeking to know	TABULATION -arranged in systematic outline

TICKET-gives information on goods, gives action privileges to holder

TRANSMITTAL-send out

TRANSCRIPT-provides a written copy

VOUCHER-receipt for expenditures or receipt of money

WARRANT-guarantee, authorize payment or receipt of money

WORK ORDER-authorize performance of activity

Appendix G

SPACE REQUIREMENTS

METHOD FOR FORMS FILL-IN	HORIZONTAL CHARACTERS PER INCH	VERTICAL LINES PER INCH
Typewriter-Pica	10	6
Typewriter-Elite	12	6
Typewriter-Electronic	10, 12, 15	6
Typewriter-Proportional	characters vary	6
Computer Printers	10, 12, 15, 17, etc	6 usual, 8 possibly
Handwriting	4 to 6 average	3
Computer Input Forms	5 to 6	3

Names of People 3 to 4 inches - variable data
 Titles of People 3 to 4 inches - variable data
 Date - Numeric..... 6 digits, 8 with dashes or slashes
 Date - Written Maximum needs 18 character spaces, minimum needs 11
 Month..... Range is from 3 to 9 characters-abbreviations 1 or 3 characters
 Day 6 to 9 characters-abbreviations 3 to 4 characters
 Social Security Number 9 characters, eleven spaces with typed slashes/dashes
 Age..... One to 3 digits
 Telephone Number..... 8 spaces, 14 with bracketed area code
 "800" Telephone Number 14 spaces
 Street Address 3 to 4 inches, variable data
 County Name 13 characters is maximum (i.e. Golden Valley)
 County Seat in ND 12 characters (i.e. New Rockford, Watford City)
 North Dakota Cities 15 characters maximum (i.e. Crystal Springs)
 State..... 2 character Postal Service abbreviation
 12 characters for "North Dakota"
 State, Any/All Others 14 characters maximum
 Zip Code..... 5 digits
 Zip Plus 9 digits and one dash for a total of 10 spaces

Margins 1/4 inch minimum
 Binding/Punching margins..... 5/8 inch to one inch - variable
 Typing No closer than one inch from top and bottom of paper
 Title Block Usually 3/4 inch in height, 4 to 5 inches in width

Appendix H

STANDARDS OF MEASUREMENT

Approximate number of sheets that can be filed per inch.....	175
Number of pieces of paper per cubic foot.....	3000
Average amount of working file space in one file drawer (after deducting for folders, dividers, etc.).....	16 inches
Floor space required for file equipment (includes working space and aisles):	
Drawer cabinet - (letter size)	7.1 sq. feet
Drawer cabinet - (legal size).....	8.5 sq. feet
Open shelf - (letter size)	7.0 sq. feet
Open shelf - (legal size).....	7.8 sq. feet
Cubic foot measurements:	
Letter size drawer	1.5 cu. feet
Legal size drawer.....	2.0 cu. feet
Shelving, 3 feet, letter size.....	1.8 cu. feet
Shelving, 3 feet, legal size	2.3 cu. feet
Cost of owning and operating a standard five-drawer file cabinet (annually)	
Space cost (7.1 sq. feet @ \$7.58 per sq. foot)	\$ 63.12
Supplies (approximately \$18.00 per drawer)	\$ 125.00
Cost of cabinet (\$266.00 per cabinet; 10% salvage; depreciated over 10 years).....	\$ 32.67
File clerks pay (pay of Clerk I @ midrange of 953.50 per month for handling 30 cabinets)	\$ 475.60
Employer cost @ 25%	\$ 118.90
Subtotal.....	\$ 815.29
Indirect costs (boxes, disposal forms) @ 10%	\$ 81.53
Total	\$ <u>896.82</u>
Average yearly cost to maintain one drawer in a five-drawer file cabinet	\$ 171.36
Average annual cost per filing inch	\$ 11.21
Average annual cost per cubic foot.....	\$ 119.57

Appendix I

VERTICAL FILING SYSTEM

Primary Guide

Secondary Guide

Tertiary Guide

05 LABOR, DEPT OF
1986

05 EDUCATION, DEPT OF
1988

05 AGENCY FEDERAL
(AF)

01 MARCH 1999

01 APRIL 1999

01 ACCOUNTS PAYABLE
(AP)

01 ACCOUNTING (ACT)

OPEN-SHELF FILING SYSTEM

10 (AS) CORRESPONDENCE ATTORNEY GENERAL 1986	18 (CR) AMERICANS WITH DISABILITIES ACT 1991	22 (CM) ELECTRONIC RECORDS COMMITTEE 1994	22 (CM) MICROGRAPHICS STANDARDS COMMITTEE 1988	50 (LG) LEGAL OPINIONS 1984
1	1	2	2	5
0	8	2	2	0

[illegible]



INSTRUCTIONS: Complete one record series description for each record series. DO NOT use abbreviations or in-house terminology to describe records.

2. Action Requested <input type="checkbox"/> Add <input type="checkbox"/> Change <input type="checkbox"/> Delete		3. Record Control Number (For a change or delete)	
4. Records Series Title			
4. Complete description of what this record contains. If requesting a change or deletion, please indicate the reason below.			
5. Medium <input type="checkbox"/> Paper <input type="checkbox"/> Electronic <input type="checkbox"/> Microforms <input type="checkbox"/> Other-Specify:		6. Inclusive Dates of Record Series FROM _____ TO _____	
		7. Is Record Series Confidential/Exempt By Law? <input type="checkbox"/> No <input type="checkbox"/> Yes - Cite Statute:	
8. Is the record series the original? <input type="checkbox"/> No <input type="checkbox"/> Yes Is information duplicated or summarized elsewhere? <input type="checkbox"/> No <input type="checkbox"/> Yes - Explain:			
9. Is the record vital to the ongoing operation of the office in the event of a disaster or accident? <input type="checkbox"/> No <input type="checkbox"/> Yes - Explain:			

MICROFORM

10. Size <input type="checkbox"/> Letter <input type="checkbox"/> Legal <input type="checkbox"/> Other - Specify:	11. Filing System <input type="checkbox"/> Alphabetic <input type="checkbox"/> Chronological <input type="checkbox"/> Other - Specify: <input type="checkbox"/> Geographic <input type="checkbox"/> Terminal Digit <input type="checkbox"/> Numeric <input type="checkbox"/> Subject	12. <input type="checkbox"/> 16mm <input type="checkbox"/> 35 mm <input type="checkbox"/> Microfiche
--	---	--

<p>13. Where Is Information Used?</p> <p><input type="checkbox"/> Within Division</p> <p><input type="checkbox"/> Within Agency</p> <p><input type="checkbox"/> In Other State Agencies</p> <p><input type="checkbox"/> By the Public</p>	<p>16. Media Location</p> <p><input type="checkbox"/> Office</p> <p><input type="checkbox"/> Warehouse</p> <p><input type="checkbox"/> Computing Center</p>	<p>19. Hardware Environment</p>
	<p>17. Estimated Annual Growth</p>	
<p>14. File Type</p> <p><input type="checkbox"/> Computer <input type="checkbox"/> Audio <input type="checkbox"/> Video</p> <p><input type="checkbox"/> Text <input type="checkbox"/> Music</p> <p><input type="checkbox"/> Data <input type="checkbox"/> Voice</p> <p><input type="checkbox"/> Image</p>	<p>18. Is Information Backed up?</p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes - How?</p>	<p>20. Software Environment</p>
<p>15. Media Type</p> <p><input type="checkbox"/> Magnetic <input type="checkbox"/> Optical</p> <p><input type="checkbox"/> Other - Specify:</p>	<p>When is Information Backed up?</p>	
	<p>How Many Generations?</p>	

21. Is Data Periodically Purged from System? <input type="checkbox"/> No <input type="checkbox"/> Yes		22. How is it Purged? <input type="checkbox"/> Batch <input type="checkbox"/> Manual <input type="checkbox"/> Other - Specify:													
23. Description of Data Elements Purged and When?		24. RETENTION <table border="1"> <tr> <td>On-Line</td> <td></td> <td>Off-Site</td> <td></td> </tr> <tr> <td>Near-Line</td> <td></td> <td>Other</td> <td></td> </tr> <tr> <td>Off-Line</td> <td></td> <td>Total</td> <td></td> </tr> </table>		On-Line		Off-Site		Near-Line		Other		Off-Line		Total	
On-Line		Off-Site													
Near-Line		Other													
Off-Line		Total													

25. Prepared By	Telephone Number	Date
-----------------	------------------	------

26. ADMINISTRATIVE VALUE (Agency) (How long is the record series actually used by the agency?)	FISCAL VALUE (Auditor) <input type="checkbox"/> NO <input type="checkbox"/> YES-Retain 3 Years After Current Fiscal Year	TOTAL RETENTION (For Records Mgmt. Use Only)
	LEGAL VALUE (Attorney General) <input type="checkbox"/> NO <input type="checkbox"/> YES-Retain _____ Years Cite Statute _____	
	HISTORICAL VALUE (State Archivist) <input type="checkbox"/> NO <input type="checkbox"/> YES	



APPROVALS	Department	State Auditor	Attorney General	State Archivist	State Records Manager

[illegible]

Appendix L

10/15/1999

ITD/RECORDS MANAGEMENT DIVISION
 RECORDS DISPOSAL REPORT FOR DEPT - 112 - INFORMATION TECHNOLOGY DEPARTMENT
 DIVISION - 4 - RECORDS MANAGEMENT

RM1071-AA

PAGE 1

* * * * DISPOSE OF * * * *

RECORDS CONTROL NUMBER	RECORD SERIES TITLE	TOTAL RETENTION YEARS	TRANSFER THIS YEAR TO INACT. STORAGE	MICROFILM THIS YEAR	THIS MONTH/YR AND BEFORE	USE THIS METHOD
050102	AGENCY, FEDERAL CORRESPONDENCE	1			1997	LANDFILL
140109	COMMITTEES/MEETINGS	1			1997	LANDFILL
260105	INFORMATION LINK WORKING DOCUMENTS	1			1997	LANDFILL
550212	LEGISLATION	2 AL			1996	LANDFILL
600901	JOB DESCRIPTIONS	UD + 6			1992 UD + 6	LANDFILL
Appendix M	101	UD + 3			1995 UD + 3	LANDFILL
	111	UD			1998 UD	TO ARCHIVES
	226	PERM		1997	PERM	
	602	25 ACFY		1997	JUNE 1974	LANDFILL
	800603	7BY			1991	LANDFILL
	850402	1			1997	LANDFILL



Appendix N

RECORDS DISPOSAL REQUEST
INFORMATION TECHNOLOGY DEPARTMENT
RECORDS MANAGEMENT
SFN 2044 (12-99)

REQUEST CONTROL NUMBER (Records Mgmt. Use Only)

Department	Division or Unit		Date
Address	City	State	Zip Code
Name	Title	Telephone Number	

DISPOSAL VOLUME - ESTIMATE, AND ENTER BELOW, THE VOLUME IN LINEAR INCHES TO BE DISPOSED OF FOR EACH RECORD

SIZE OF RECORDS	LETTER SIZE 8 1/2 x 11 inches	LEGAL SIZE 8 1/2 x 14 inches	Size x	Size x	Size x	MICROFICHE 5 3/4 x 4 inches	ROLL MICROFILM Number of rolls
LINEAR INCHES							

Sample

Type of Disposal ☐ Initial Disposal/Transfer ☐ One-time Disposal/Transfer ☐ Early Disposal/Transfer

RECORD CONTROL NUMBER	RECORD TITLE	INCLUSIVE DATES	TOTAL RETENTION



RECORDS DISPOSAL AUTHORIZATION
INFORMATION TECHNOLOGY DEPARTMENT
RECORDS MANAGEMENT
SFN 2045 (8-1999)

Appendix O

Page ____ of ____

Control Number

**ACTION
TAKEN**

- ☐ **Denied** until Retention Schedule is submitted.
- ☐ **Denied** because inclusive dates indicate records are being disposed of too soon.
- ☐ **Agency must contact State Archives.**
- ☐ **Part** of records may be disposed. *Those not authorized for disposal are crossed out.*
- ☐ **Approved** for Disposal/Transfer.

ITD Records Management

Date

APPROVAL

Sample

State Archives

Date

Attorney General's Office

Date

State Auditor's Office

Date

**CERTIFICATE
OF
DISPOSAL**

I certify only those records approved on this request were disposed.

Date of Disposal

Method of Disposal

☐ Landfill

☐ Shred/Burn

☐ Transfer to State Archives

Comments

Certified By

Witnessed By

**CERTIFICATE
OF
TRANSFER**

I certify that the following records were transferred to the State Historical Society.

Date of Transfer

Title(s)/Record Control Number(s)

State Archivist

Date



CERTIFICATION OF RECORDS DISPOSAL
INFORMATION TECHNOLOGY DEPARTMENT
RECORDS MANAGEMENT
 SFN 7694 (1-99)

Certification Control Number

 Complete And Return to ITD/Records
 Management By:

Agency Name

Division

INSTRUCTIONS

1. Review your Record Retention Schedule and Disposal report to identify any changes to existing record series or additions and deletions to the record retention schedule. This includes any changes to the retention periods assigned to the record series. Mark the appropriate Schedule Review box below.
2. Verify that the records approved for disposal or transfer to the State Archives have been handled as specified in the attached Records Disposal Report. Make a note on the Records Disposal Report if you are not transferring or disposing of any records that are listed on the report. Mark the appropriate Records Disposal box below.
3. Enter the total inches of records disposed under the appropriate size. Measure from the front of the drawer or box to the back OR the height of the records stacked on the floor or desk.

Sign and date the Agency Certificate of Schedule Review and Records Disposal (below).
4. Contact the State Archives at 328-3570 to transfer records designated as historical. When records are transferred, include the Disposal Report (RM 1071-AA) and this signed Certification of Records Disposal with the records being transferred. The State Archivist will sign the Certificate of Transfer.
5. If no records are designated for transfer to the State Archives, send the Disposal Report (RM 1071-AA) and this signed Certification of Records Disposal to Information Technology Department, Records Management, 600 East Boulevard Avenue, Bismarck, ND 58505-0100.

Sample

AGENCY CERTIFICATE OF SCHEDULE REVIEW AND RECORDS DISPOSAL

1. SCHEDULE REVIEW (Check One)

☐ I certify that I have reviewed the records retention schedule and it is correct.

☐ I certify that I have reviewed the records retention schedule and the Record Series Description(s) (SFN 2042) to request the necessary corrections accompany this Certification.

2. RECORDS DISPOSAL (Check One)

☐ I certify that only those records approved on the attached Records Disposal Report (RM 1071-AA) have been transferred or disposed of by the methods specified in that report.

☐ I certify that records have not been disposed as specified in the Records Disposal Report and that this office is not in compliance with the records management program as specified in Chapter 54-46, NDCC.
3. **DISPOSAL VOLUME - ESTIMATE THE TOTAL INCHES DISPOSED AND ENTER BELOW**

SIZE OF RECORDS	LETTER SIZE 8 1/2 x 11 inches	LEGAL SIZE 8 1/2 x 14 inches	Size x	Size x	Size x	MICROFICHE 5 3/4 x 4 inches	ROLL MICROFILM
LINEAR INCHES							

Certified for Agency

Telephone Number

Date

4. **CERTIFICATE OF TRANSFER TO STATE ARCHIVES**

I certify that the following records were transferred to the State Historical Society:

Date of Transfer

State Archivist

Date